

City of London Corporation Committee Report

Committees: Community & Children's Services – for information	Dated: 02/06/2025
Subject: DCCS Departmental Risk Update	Public report: For Information
This proposal: <ul style="list-style-type: none"> provides business enabling functions 	
Does this proposal require extra revenue and/or capital spending?	No
If so, how much?	N/A
What is the source of Funding?	N/A
Has this Funding Source been agreed with the Chamberlain's Department?	N/A
Report of Judith Finlay Executive Director Community & Children's Services	
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Summary

This report provides Members with detail of the Department's current risk register and the actions taken in mitigation to reduce those risks.

The Department's approach to risk management was subject to an internal audit in September 24 which made recommendations to strengthen the departmental application of the City's Risk Management Framework. An improvement plan to address the recommendations has been agreed and will be led by the Department's Leadership Team.

Recommendation(s)

Members are asked to:

- Note the departmental Risk Register
- Note the actions taken by the Department to further strengthen the response and mitigation to risk

Main Report

Background

1. The Department maintains a Risk Register as part of a comprehensive risk management process, through which risks are systematically identified, evaluated, and either controlled or accepted.
2. The City Corporation's approach to effective risk management aims to:
 - **Enhance performance** by increasing certainty (gaining as much insight as possible into our activities),
 - **Reduce surprises** (as a result of thorough understanding),
 - **Improve service delivery** (by being aware of significant uncertainties), and
 - **Prevent reputational damage** and maintain public confidence.
3. The effectiveness of this approach is continuously supported and assessed through a rolling programme of departmental risk management audit reviews. The primary objective of each audit is to evaluate the departmental application of the City's Risk Management Framework.

Current Position

4. A detailed register of departmental risks is provided in Appendix 1. This register includes the description, rating, and target rating for each risk, along with the associated actions.
 - Currently, there are sixteen risks listed on the departmental Risk Register.
 - One new risk, **Children's Centre Data**, has been added in the last quarter.
 - One risk, **Commissioning**, has been closed in the last quarter and is now managed locally within the service.
 - Additionally, at the request of Members, **Safeguarding Risks** have been divided between children and adults for clearer oversight.

5. An Internal Audit report, into DCCS Risk management, published on 24 September 2024, concluded that:

Overall, limited assurance is provided regarding the areas within the audit scope, particularly the departmental application of the City's Risk Management Framework, the maintenance and management of risk registers, and the adequacy of reporting to Members to facilitate effective risk management oversight.

6. The report made the following recommendations:

- **Review roles and responsibilities** within the department concerning risk management administration and the determination of risks for inclusion in the risk register to ensure appropriateness and that assigned staff are well-positioned to fulfil these roles.
- **Formulate actions** to ensure departmental adherence to risk management reporting requirements as outlined in the corporate policy.
- **Develop actions** to address the detailed Internal Audit findings related to risk management and the associated root causes.

7. As part of the improvement to respond to the audit the department has developed a local Risk Protocol to strengthen local practice. It establishes clear roles, responsibilities, and escalation routes for managing risks at departmental, service, and project levels. The protocol ensures regular review, appropriate escalation, and clear ownership of risks; particularly among Assistant Directors, SMTs, and the DLT. It also supports accurate, timely updates to the risk register, especially in preparation for audits and committee reporting, by setting expectations for updates, deadlines, and evidence gathering. The protocol was authored and formally approved by the DLT (Appendix 1)
8. To further strengthen the department's approach and skillset, risk training for managers, is being delivered by Zurich (The City of London's insurance provider) on 27 June 2025. The session is designed to build knowledge and skills and promote consistency in how risks are identified, assessed, and managed the department.

Corporate & Strategic Implications

Strategic implications

9. Effective risk management is vital to the delivery of the Corporate Plan 2024-2029 outcome of the provision of excellent services.

Financial implications

10. None.

Resource implications

11. None.

Legal implications

12. None.

Risk implications

13. As set out in the report and its appendices.

Equalities implications

14. None.

Climate implications

15. None.

Security implications

16. None.

Conclusion

17. The Department has continued to identify, evaluate, and manage risks through the maintenance of a comprehensive Risk Register. The internal audit highlighted areas for improvement, particularly in the application of the City's Risk Management Framework and the sufficiency of reporting to Members. The Department has continued with its improvement plan to address these recommendations, which will be overseen by the Departmental Leadership Team.

Appendices

- Appendix 1 – Risk Register Summary
- Appendix 2 – Local Risk Protocol

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