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Department of Community and Children's Services (DCCS) Risk Management Protocol

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Contents

Purpose

The Risk Management Protocol details the operational arrangements for managing risk within the Department of Community and Children's Services (DCCS). By adhering to the processes outlined in this document, we ensure that risks are identified, analysed, and managed promptly, thereby facilitating effective decision-making.

NB: The Risk Management Protocol should be read in conjunction with the corporate Risk Management Policy [Risk Management at the City of London Corporation](#)

Scope

This protocol supports the City of London's Risk Management Strategy, endorsed by the Audit and Risk Management Committee in May 2024, and the Risk Management Policy (version Dec 2024), adopted by the City Corporation across all its functions, including as a charity trustee. It applies the risk management principles and approach set out in the Corporate Policy and Strategy to the management of risk within the Department of Community and Children's Services (DCCS).

The protocol serves as a communication tool to ensure that all those involved in risk management within the Department of Community and Children's Services (DCCS) are aware of:

- The purpose of using a formal risk management approach.

- The risk roles and responsibilities within the risk management process.

- The risk management process being adopted.

- The tool used to record the risks/controls and report on them.

- How the risk management process will be managed and monitored.

This protocol will be reviewed annually by the DCCS Business Support Managers and updated as appropriate.

Further information can be found by looking at the Risk Management page on the intranet or by contacting the Corporate Strategy and Performance Team.

[Risk Management at the City of London Corporation](#)

Levels of Risk

To ensure that risk is managed appropriately, the Department of Community and Children's Services (DCCS) categorises risks into three levels:

- **Corporate:** These risks, if they occur, would have a significant impact on the City Corporation as a whole or a substantial part of it, affecting the successful delivery of its corporate outcomes and its ability to exercise its functions.

- **Departmental:** These risks would seriously inhibit the achievement of the department's aims and objectives. Unlike corporate risks, departmental risks typically only impact DCCS.

- **Service:** These risks usually concern the failure to achieve service objectives. They are related to maintaining an appropriate level of business service for existing and new service users. Due to the size and diverse nature of DCCS, service risks are grouped by division, with some Divisional Assistant Directors also holding a set of 'Cross-Divisional' risks.

- **Individual Projects:** Any identified risks related to individual projects are recorded in the local risk register, which is managed by Team Managers and Heads of Services.

By categorising risks in this manner, DCCS ensures that each risk is managed at the appropriate level, facilitating effective risk management and mitigation.

The structure of DCCS risks is provided at Appendix A.

Local risk register can be found in Annex and further reading

Governance and reporting

Figure 1 (below) illustrates the City of London's arrangements for risk governance and reporting. In summary:

- Members are responsible for monitoring the risk management process. Corporate risks, red departmental risks and key service risks are reported regularly to relevant Grand/Service Committees for this purpose. (Appendix B contains a list of Committees to which the DCCS reports, and the agreed frequency and format of reporting).
- Accountability for risk management lies with City of London Officers.
- The Executive Leadership Board (ELB) is responsible for overseeing corporate risks and red departmental risks. ELB acts on the advice of the Chief Officer Risk Management Group (CORMG) which reviews these risks in more detail.
- The Risk Management Forum consists of risk coordinators from each department. The Business Support Managers represent DCCS at this Forum.

Figure 1: Risk management Officer and Member governance

Roles and responsibilities

Corporate Risk Manager

The responsibilities of the Corporate Risk Manager include:

- Providing guidance on the application of the risk management process to the Community and Children's Department.
- Acting as the high-level system administrator for the Ideagen risk management system.
- Updating the organisation's Risk Management Policy and Strategy which is approved by the ELB and endorsed by A&RMC.
- Reporting regularly to the A&RMC.
- Liaising with departmental risk co-ordinators.
- Providing training and guidance.

Chief Officer

- Ensures the department has appropriate risk management processes and controls.
- Takes overall responsibility for the Departmental Risk Register, with individual risks owned by the most appropriate DLT member or Head of Service.
- Champions effective risk management and manages service-level risks within their division.
- Conducts quarterly reviews to identify, review, and update cross-divisional risks, either during regular management meetings or specific risk-focused sessions.
- Prepares to answer questions from Members when risk registers are reported to Committees or delegates this responsibility to Assistant Directors.
- Owns one or more Departmental Risks, ensuring regular review and updates.
- As a member of ELB and CORMG, regularly reports on corporate and red departmental risks and recommends risks for escalation or de-escalation to the Corporate Risk Register.

Departmental Leadership Team (DLT)

Discusses departmental risks and risk management processes quarterly to:
- Ensure adherence to the Corporate Risk Management Strategy and the DCCS Risk Management Protocol.
- Review and assess departmental risks, risk descriptions, risk scores, and the effectiveness of mitigating actions.
- Agree on risks for addition to or removal from the Departmental Risk Register.
- Consider risks for potential escalation to or de-escalation from the Corporate Risk Register.

Assistant Directors (AD)/ Senior management Team (SMT)

- Manages risks within their service area in line with the Corporate Risk Management Policy and Strategy.

- Ensures staff have appropriate understanding and training on risk management.
- Highlights risks for escalation from Service Risk Registers to the Departmental Risk Register, for DLT agreement.
- Periodically confirms with their management team that risks are being captured appropriately across the division.
- Informs the Chief Officer of risks suitable for escalation.
- When delegated by the Chief Officer, prepares to answer questions from Members when risk registers are reported to Committees.

Risk owners

Risk owners generally will be Head of Services or Assistant directors. In the case of a specific project accompanied by its own risk register, it may be administered as a capsule initiative, with distinct risk owners formally designated. For cross divisional risks, more than one risk owner may be identified, representing their department.

- Risk owners are required to review and update their risks and associated mitigation actions at least every six weeks to quarterly. This process should be informed by consultations with relevant lead or professional colleagues and must remain responsive to changes in the risk environment, ensuring a dynamic and agile approach top risk management.

- Updating the Ideagen Risk Management System: Each time a risk is reviewed, the risk owner must update the Ideagen Risk Management system by requesting the Business Support Managers to do so on their behalf.

- Regular Review: Risks should be regularly reviewed, and associated actions should reflect current internal and external circumstances.

- Escalation and Deactivation: Risk owners should suggest risks for escalation to the Departmental or Corporate level as necessary. They should also discuss any new risks, actions, or those suitable for deactivation with their manager as soon as possible.

N.B. Chief Officers are the overarching owners of any strategic level risk, such as

corporate risks, within their business areas and have overarching accountability

for the management of all their risks.

Business Support Manager (Departmental Risk Coordinator)

Support the DLT: Assist the Departmental Leadership Team (DLT) in fulfilling their responsibilities under the Corporate Risk Management Policy and Strategy.

Provide Risk Management Advice: Offer guidance and support to managers and risk owners across the department.

Capture and Record Changes: Ensure that any changes to departmental risks identified by the DLT are captured, properly recorded, and actions are assigned to the appropriate owner.

Maintain the Risk Register: Manage the departmental risk register on the Ideagen Risk Management system, ensuring all necessary actions are documented and tracked for effective risk management.

Prepare and Present Reports: Prepare and present regular Risk Management Update reports to Community & Children's Services Committees HMASC (Housing Management & Almshouses Sub Committee). Ensure that risk owners have reviewed and updated their risks every quarter, and that risk registers are accurate and current.

Represent the Department: Act as the department's representative at the Corporate Risk Management Forum and provide feedback to the DLT as appropriate.

Organise Training: Arrange training and provide guidance for departmental staff on risk management.

Maintain the Risk Management Protocol: Ensure that the department's Risk Management Protocol continues to support the Corporate Risk Management Policy and Strategy.

Head of services:

- Reporting Unresolved/ New Risks: Any unresolved/ New risks escalated by staff and managers should be reported and logged during senior management team meetings.

- Addressing Risks in Meetings: During these meetings, the risks must either be resolved, mitigating circumstances identified, or further escalated to Assistant Directors and the Business Support Manager.

All Officers:

- Understanding Risk: Staff should understand how risk management helps the City Corporation achieve its objectives at multiple levels and in their day-to-day activities.

- Identifying Risks: Staff should identify potential risks and blockers and bring them to the attention of their managers.

- Team Discussions: Risk discussions should be part of team meeting agendas to find solutions. If unresolved, risks should be escalated by the Head of Service.

- Implementing Actions: Staff may be responsible for implementing actions or mitigations.

- Attending Training: Staff should attend training programs as directed by line managers. Attendance may be specified in personal plans.

- Familiarising with Procedures: Staff are required to familiarise themselves with all risk assessments, safe systems of work, and related standard operating procedures.

More information can be found on the City of London Corporation intranet site for a beginners guide: Risk Management Policy_2024_FinalVersion(1)

Risk management process

1. Risk Management Framework

follows a structured five-step cycle: Using the following steps, we can ensure our risks are correctly identified, agreed, drafted and managed using the risk registers:

Clarify objectives → Identify → Assess → Address → Monitor & Review

Risks are recorded in the Ideagen system for consistency, reporting, and decision-making.

Keeping risk registers up to date is essential for oversight and audit readiness.

2. Identifying and Managing Risks

Risks are identified through:

Departmental leadership reviews (DLT)

Senior and team meetings

Business planning and policy reviews

Emerging events (e.g. legislation changes, severe weather)

Risks are assessed using standard criteria for likelihood and impact.

Mitigation actions are developed to reduce risk severity and are regularly reviewed.
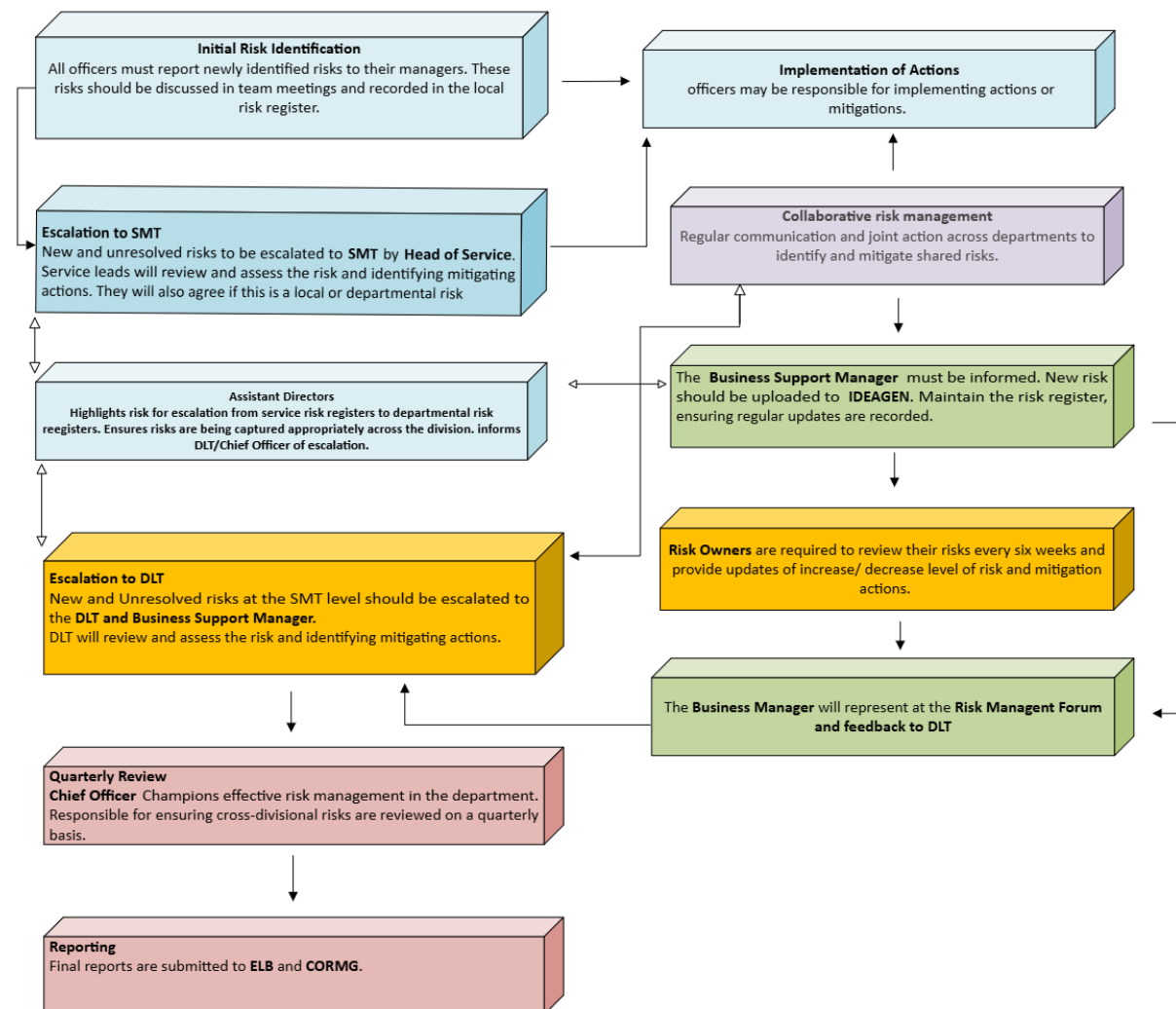
3. Escalation and Oversight

Escalation occurs when risks are unmanageable, remain high, or affect multiple areas.

De-escalation applies when risks are reduced or manageable at a lower level.

Corporate risks are reviewed by CORMG, recommended to ELB, and endorsed by A&RMC.

Ideagen generates standard and custom reports to support governance and risk tracking.

DCCS Risk management process

Initial Risk Identification
All officers must report newly identified risks to their managers. These risks should be discussed in team meetings and recorded in the local risk register.

Implementation of Actions
officers may be responsible for implementing actions or mitigations.

Escalation to SMT
New and unresolved risks to be escalated to **SMT** by **Head of Service**. Service leads will review and assess the risk and identifying mitigating actions. They will also agree if this is a local or departmental risk

Collaborative risk management
Regular communication and joint action across departments to identify and mitigate shared risks.

Assistant Directors
Highlights risk for escalation from service risk registers to departmental risk reegisters. Ensures risks are being captured appropriately across the division. informs DLT/Chief Officer of escalation.

The **Business Support Manager** must be informed. New risk should be uploaded to **IDEAGEN**. Maintain the risk register, ensuring regular updates are recorded.

Escalation to DLT
New and Unresolved risks at the SMT level should be escalated to the **DLT and Business Support Manager.**
DLT will review and assess the risk and identifying mitigating actions.

Risk Owners are required to review their risks every six weeks and provide updates of increase/ decrease level of risk and mitigation actions.

The **Business Manager** will represent at the **Risk Managent Forum and feedback to DLT**

Quarterly Review
Chief Officer Champions effective risk management in the department. Responsible for ensuring cross-divisional risks are reviewed on a quarterly basis.

Reporting
Final reports are submitted to **ELB** and **CORMG**.

Timing of risk management activities

Risk owners are required to review their risks quarterly, providing updates on any changes in risk level and progress on mitigation actions.

Activity	Frequency
Risk owners review and update risks and mitigating actions	At least quarterly
All staff raise any risks identified to team meetings.	Regular team meetings.
Assistant Directors review Service level risks with their Senior Management Team.	Team meetings as a recurring agenda item – at least quarterly
DLT review the departmental register, and consider escalation / de-escalation of risks	Quarterly
Risks escalated up to CORMG and ELB	As and when it arises
Risk reports to Service Committees	As set out in Appendix B

Appendices

Appendix A: DCCS risk structure

Appendix B: Committee reporting arrangements

Appendix C: City of London Risk Assessment Matrix

Department of Community and Children's Services: Business risk structure

+ **Corporate Risks**

  + **Departmental Risks**

   + **Service Level Risks**

    + **Peoples Directorate**
      + Adult Social Care
      + Children's Social Care and Early Help
      + Homelessness Prevention and Rough Sleeping
      + Safeguarding and Quality Assurance
      + Virtual Schools

    + **Education & Skills**
      + Education & Early Years
      + Education & Strategy
      + Adult Skills & Education Service

    + **Commissioning and Partnerships**

      + Commissioning and Partnerships
      + Strategy and Performance
      + Community Safety Team
      + Pan London Commissioning
      + Business Support

    + **Public Health**
      +Children and Young people and health protection
      + Mental health, substance use and Complex Needs
      + Prevention, inequalities and risk factors
      +academic partnerships, business Healthy, Health intelligence, sexual health
      +Population Health
      + Public Health, Business Management

    + **Barbican Estate**
      + Barbican Estate Revenue Team
      + Barbican Estate

    + **Barbican and Community Libraries**
      + Barbican Library
      + Artizan Library and Community Centre
      + Shoe Lane Library

+ Housing

+ Housing Management /Golden Lane Leasure Centre
+ Business Support Housing & Barbican
+ Repairs and Maintenance
+ Major Works
+ New Developments & Special Projects

Arrangements for reporting risk to Committees

- The Corporate Risk Management Policy states that all Corporate and Departmental risks should be reported to the relevant Committee each quarter, however due to the frequency of Committee meetings, and specific agreement of the Committee, risk is reported to some Committees less often.

Committee	Frequency	Content
Community and Children's Services	Varies (every other month) – On hold after January due to elections until June.	All the risk registers to be presented at: 19 June C&CS 17 September C&CS 1 December C&CS
Housing Management and Almshouse Sub Committee	Every 3 months	Housing risks will be included as an appendix in every committee meeting.
Audit and Risk Management Committee	5-6 times a year	High- level, Cooperate Risk with references to departmental top red risks are discussed.
Education Board	Every 3 months	Education director to discuss this in DLT before this is taken to Education board.

City of London Corporation Risk Matrix

Scoring a risk involves evaluating two main factors: likelihood and impact.

- **Likelihood**: Assess the reasonable likelihood of the risk occurring in the current situation. This likelihood is assigned a numerical score on a scale from 1 (rare), 2 (unlikely), 3 (possible), and 4 (likely).

- **Impact**: Evaluate the potential impact if the risk occurs. This is rated on a scale from 1 (minor), 2 (serious), 4 (major), and 8 (extreme). The impact score is scaled higher than likelihood because it often results in worse outcomes, prioritizing high-impact risks for management.

  The total risk score is calculated by multiplying the likelihood score by the impact score. This score helps prioritise risks for treatment, informing resource allocation and decision-making. We assess the risk score at three different points:

- **Inherent/Original**: The risk score on the day the risk is identified, before any controls or actions are taken.

- **Current**: The level of risk at the time of review, considering the actions in place to manage it.

- **Target**: The score where the risk is considered acceptable according to our risk appetite, reflecting the desired state once mitigating actions are implemented and the risk is successfully managed.

(A) Likelihood criteria:

	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)
Criteria	ss than 10%	10 – 40%	40 – 75%	More than 75%
Probability	Has happened rarely/never before	Unlikely to occur	Fairly likely to occur	More likely to occur than not
Time period	Unlikely to occur in a 10-year period	Likely to occur within a 10-year period	Likely to occur once within a one-year period	Likely to occur once within three months
Numerical	Less than one chance in a hundred thousand (<10-5)	Less than one chance in ten thousand (<10-4)	Less than one chance in a thousand (<10-3)	Less than one chance in a hundred (<10-2)

(B) Impact criteria

Impact title	Definitions
Minor (1)	**Service delivery/performance**: Minor impact on service, typically up to one day. **Financial:** financial loss up to 5% of budget. **Reputation**: Isolated service user/stakeholder complaints contained within business unit/division. **Legal/statutory**: Litigation claim or find less than £5000. **Safety/health**: Minor incident including injury to one or more individuals. **Objectives**: Failure to achieve team plan objectives.
Serious (2)	**Service delivery/performance**: Service disruption 2 to 5 days. **Financial:** Financial loss up to 10% of budget. **Reputation:** Adverse local media coverage/multiple service user/stakeholder complaints. **Legal/statutory**: Litigation claimable fine between £5000 and £50,000. **Safety/health**: Significant injury or illness causing short-term disability to one or more persons. **Objectives:** Failure to achieve one or more service plan objectives.
Major (4)	**Service delivery/performance**: Service disruption > 1 - 4 weeks. **Financial:** Financial loss up to 20% of budget. **Reputation**: Adverse national media coverage 1 to 3 days. **Legal/statutory**: Litigation claimable fine between £50,000 and £500,000. **Safety/health**: Major injury or illness/disease causing long-term disability to one or more people **objectives:** Failure to achieve a strategic plan objective.
Extreme (8)	**Service delivery/performance**: Service disruption > 4 weeks. **Financial**: Financial loss up to 35% of budget. **Reputation**: National publicity more than three days. Possible resignation leading member or chief officer. **Legal/statutory**: Multiple civil or criminal suits. Litigation claim or find in excess of £500,000. **Safety/health**: Fatality or life-threatening illness/disease (e.g., mesothelioma) to one or more persons. **Objectives:** Failure to achieve a major corporate objective.

(C) Risk score definitions

RED	Urgent action required to reduce rating
AMBER	Action required to maintain or reduce rating
GREEN	Action required to maintain rating

		Impact			
	X	**Minor (1)**	**Serious (2)**	**Major (4)**	**Extreme (8)**
Likelihood	**Likely (4)**	4 Green	8 Amber	16 Red	32 Red
	Possible (3)	3 Green	6 Amber	12 Amber	24 Red
	Unlikely (2)	2 Green	4 Green	8 Amber	16 Red
	Rare (1)	1 Green	2 Green	4 Green	8 Amber

Annex: Further Reading

Links below to resources that can aid further understanding (February 2024)
Internal

We have outlined the importance of thinking about risks outside of departmental silos. These internal points of contact and/or policies can help set. risk thinking in a wider context:

• City of London Corporation Heads of Profession: **Risk Management at the City of London Corporation**
• Health, Safety and Wellbeing Team – **SafetyNet (Corporate Health & Safety)**
• Internal Audit colleagues - **Meet the Team**
• Member Services for Governance Arrangements - **Committee and Member Information**

Local risk register template

Local Risk
Register.xlsx