

Audit Committee

Risk Management – Policy and Public Affairs Risk Register Item no: 07

Report by: Doug Flight **Job title:** Corporate Director, Services

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Summary: This report presents the current Policy and Public Affairs directorate risk register for consideration by the Audit Committee.

Recommendations: The Audit Committee is asked to:

- Note the current Policy and Public Affairs directorate risk register

Risk Management Framework and Registers

1. Background

1.1 London Councils Risk Management Strategy and Framework was agreed in March 2012. The approach is proportionate to the organisation and establishes the organisation's approach to risk management and a framework for identifying and monitoring risks.

1.2 The directorate and corporate risk registers are reviewed, at minimum, quarterly by the Corporate Governance Officer Group and half-yearly by London Councils' Corporate Management Board (CMB).

1.3 In September 2011 the Audit Committee requested that the directorate risk registers were presented to the committee in rotation, one at each meeting. This report presents the Policy and Public Affairs risk register to the Audit Committee.

1.4 The types and definitions of risks used in London Councils risk assessments are attached at Appendix One.

1.5 In relation to policy work, London Councils Risk Management Strategy states that:

As a cross party, pan London organisation all our policy decisions are essentially risk based, determined by current circumstances, impact on London and the focus of our member Boroughs at a particular time. The risk appetite of our member organisations is a constant consideration and will always have a bearing on the policy direction taken by the organisation. These considerations can be seen within reports to Members which will often outline the case for focusing attention on a particular policy or a campaign on particular issues.

A number of these areas of work will appear on risk registers but equally, the decisions made are sometimes dynamic ones which do not benefit from consideration in a cyclical review timetable. Instead the intrinsic risks of policy work, such as ineffective lobbying, are noted within our registers and generic mitigating actions are listed which are then applied to all areas of Policy work.

In contrast, the risks related to the services which London Councils delivers on behalf of the Boroughs are recorded in far more detail in a risk register. These risks are far more specific, detailed and delivery focused than the risks identified for Policy work. They are consequently monitored more regularly as management considers that this approach enables the most effective management and mitigation of risks.

This flexible approach to risk management is implemented with the support of the senior management and Members, in acknowledgement of the type of risks and nature of the work undertaken by London Councils. In this way, our risk management strategy enables the diverse nature of the organisation to be accommodated within an effective approach to risk management which ultimately ensures that decisions are made pro-actively and with proper consideration of the nature of the risks involved.

(London Councils Risk Management Strategy and Framework, approved March 2012, p2)

2. Current position on Policy and Public Affairs directorate risk register

2.1 The Policy and Public Affairs risk register contains 11 risks covering the generic aspects of policy and public affairs work, including ineffective lobbying, weak technical analysis, and insufficient coverage of the concerns of London Councils members. A number of these risks are replicated in the corporate risk register. The risk register is attached at Appendix 2.

2.2 The Policy and Public Affairs directorate risk register is reviewed quarterly by the PAPA Management team meeting which comprised the following Officers;

- Dick Sorabji, Corporate Director, Policy and Public Affairs
- James Odling-Smee Director of Communications
- Doug Flight, Head of Strategic Policy Group
- Dianna Neal, Head of Economy, Culture and Tourism
- Lizzie Clifford, Head of Housing and Planning
- Katharina Winbeck, Head of Transport and Environment
- Caroline Dawes, Head of Children's Services
- Clive Grimshaw, Acting up Strategic Lead; Health
- Guy Ware, Interim Director: Finance, Performance & Procurement

It was last considered by this group on 14 March 2016

2.3 The Policy and Public Affairs risk register is also considered quarterly at the Corporate Governance Officers Group, most recently on 15 January 2016 and every 6 months by the Corporate Management Board, most recently on 17 February 2016.

3. Implications

Equalities Implications for London Councils

There are no specific equalities implications arising from the recommendations, although when compiling the divisional, directorate and corporate risk registers, equalities issues may be identified and will be recorded, reported and managed as necessary.

Financial Implications for London Councils

There are no financial implications arising from this report.

Legal Implications for London Councils

There are no legal implications arising from this report.

4. Recommendations

The Audit Committee is asked to:

- Note the Policy and Public Affairs directorate risk register

Appendices;

Appendix 1 - Criteria for risks within London Councils

Appendix 2 - Policy and Public Affairs directorate risk register – last updated 14 March 2016