

# Audit and Risk Assurance Committee

**29 September 2022**

<b>Subject:</b>	Law and Governance Directorate Risk Register Report
<b>Director:</b>	Director of Law and Governance Surjit Tour
<b>Contact Officer:</b>	Mark Satchwell, Service Manager Registration & Bereavement Services Maria Price, Service Manager Legal & Governance Elaine Newsome, Service Manager Democracy Koser Shaheen, Equalities, Diversity and Inclusion Manager Audit Services Business Partner Narinder Phagura <a href="mailto:Narinder_phagura@sandwell.gov.uk">Narinder_phagura@sandwell.gov.uk</a>

## 1 Recommendations

- 1.1 To note and comment on the directorate risks.

## 2 Reasons for Recommendations

- 2.1 Effective risk management is a key element of good corporate governance, as noted in the council's [Code of Corporate Governance](#), and is essential to the overall performance of the council in meeting its corporate plan objectives. Good risk management will ensure that resources are used efficiently and effectively and that assets and resources are protected against risk in the most efficient way.
- 2.2 The role of the ARAC is to provide assurance to the Council that it has a system of governance, risk management and internal control in place



and that the adequacy and effectiveness of these arrangements continue to inform decision making. Thereby, it provides assurance that risks to the delivery of the council's key priorities are being managed.

- 2.3 The Committee will be aware that these risks are managed through the council's risk management process which is set out in its Corporate Risk Management Strategy, and involves the development of risk registers at strategic, directorate, operational and project levels.

Risk hierarchy



- 2.4 Ownership of the individual directorate risks is assigned to the director and service managers, who have responsibility to:



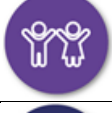



- Consider and agree the risk description
- Assess the current risk score based upon the controls in place and the assurances they have received on the adequacy and effectiveness of these controls
- Implement mitigating actions to reduce the risk scores where necessary, in order to deliver the target risk score by the target date.

- 2.5 The Director is also responsible for keeping the Cabinet Members informed of the relevant risks that fall within their portfolio and the implementation of mitigating actions.



- 2.6 Further ongoing reviews of the directorate register are undertaken by the Directorate Management Team on a regular basis.
- 2.7 A summary of the directorate risks is included at Appendix A of this report which notes one risk that is currently assessed as red, five amber risks and six green risks. This summary register should be considered alongside the council's strategic risk register which also includes risks which the Law and Governance directorate has responsibility for managing or will contribute to the management of.

### 3 How does this deliver objectives of the Corporate Plan?

	Best start in life for children and young people
	People live well and age well
	Strong resilient communities
	Quality homes in thriving neighbourhoods
	A strong and inclusive economy
	A connected and accessible Sandwell
The report details the key directorate risks that need to be managed to ensure that they do not negatively impact on the delivery of the directorate business plan and thereby the Corporate Plan objectives.	

### 4 Context and Key Issues

- 4.1 This report updates the Committee on the profile of the key risks currently faced by the directorate.
- 4.2 The risk register is a live document and reflects the risk profile at the time of preparing this report in August 2022. The risks undergo ongoing review to ensure they remain appropriate and are assessed in order to aid informed decision making and resource allocation.



4.3 The directorate risk register may not include all of the risks faced by the directorate. Other risks are captured within service, programme and project risk registers and assessments, in line with the Council's risk management framework as noted above.

4.4 The directorate incorporates the following service areas:

- Equality and diversity
- Legal services
- Monitoring Officer role
- Governance
- Electoral services
- Councillor support
- Democratic services
- Bereavement services and coroner service
- Registrations
- Information governance

4.5 An update of the risks, including the measures in place to mitigate them are included within appendix A.

## 5 Alternative Options

5.1 Whilst this report does not require a decision and therefore, alternative options do not need to be considered, when measures are being considered for the mitigation of each of the directorate risks, this takes into account any alternative options available.

## 6 Implications

<b>Resources:</b>	The authority's budget planning process incorporates financial and other resources required to manage the authority's risks and deliver the priorities within the corporate plan.
<b>Legal and Governance:</b>	There are numerous standards applicable to the management of risk within the local authority sector. Included amongst these is guidance from CIPFA/Solace, the British Standards Institute (BSI) and a set of joint standards published by the Institute



	of Risk Management (IRM), Alarm (The public sector risk management association) and AIRMIC (Association of Risk Managers in Industry and Commerce). Evidence that robust management of the authority's risks is being undertaken demonstrates compliance with these standards.
<b>Risk:</b>	The report itself is an update of the key risks facing the directorate.
<b>Equality:</b>	As a decision is not being sought in this report, it is not necessary to undertake an Equality Impact Assessment. However, when measures and decisions are being considered for the mitigation of risks, risk owners must take into account any equalities impact and whether an equalities impact assessment is required.
<b>Health and Wellbeing:</b>	The management of risk takes into account where appropriate, the implications on health and wellbeing of our communities.
<b>Social Value</b>	The actions and decisions that are being considered for the mitigation of the risks, will take into account where appropriate, the meeting of the Council's social value commitments.

## 7. Appendices

Appendix A – Directorate risk register summary as at August 2022

## 8. Background Papers

None

