

**REPORT TO:** SHAREHOLDER SUB COMMITTEE

**DATE:** 15 JANUARY 2019

**TITLE:** RISK MANAGEMENT

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**RECOMMENDED that:**

- A** The Sub Committee notes the strategic risks as relating to HTS (Property and Environment) Ltd together with their analysis and mitigation.

**BACKGROUND**

1. The Sub Committee's terms of reference includes responsibility to ensure HTS (Property and Environment) Ltd (HTS') risks are adequately defined, monitored and controlled.
2. The Council has its own Corporate Risk register which is regularly reviewed by Senior Management Board (SMB), reported to each Audit and Standards Committee meeting for scrutiny and challenge together with escalations, if required. This is also reported to Cabinet quarterly.
3. Within the corporate risk register, a strategic risk has been identified which relates to the 'Provision of Repairs, maintenance, landscape and street scene services' provided by HTS, and impacts upon the Council.

**ISSUES/PROPOSALS**

4. The HTS risk registers monitor its own corporate risks as relates to the business. They are living documents, evolving, being reported to their Board quarterly. The Council's Joint Performance Review Meeting (JPRM) also reviews quarterly ensuring issues are escalated, if required, to the Sub Committee.
5. HTS have now aligned methodology for risk articulation, analysis and reporting with that used by the Council. Strategic risks are subject to regular quarterly reviews and report to HTS Board and JPRM, and to major reviews indicated by Target Date. This is to ensure they are concurrent with the HTS Corporate Plan. The updated HTS strategic risk register is shown in Appendix A.
6. Operational risks may be subject to regular and more frequent reviews in accordance with risk score, additional possible risk controls identified and target

dates set for each risk. Operational risks are reviewed and managed by HTS directors and department managers. Operational risks with a residual risk score of 20 or higher will be reported to HTS Board for review. There are no operational risks with a residual risk score of 20 or higher as at December 2018.

7. It should be noted that controls have now been implemented to address strategic risk "Information Governance and Data Compliance". HTS Board members could have personal liability for data breach or non-compliance as noted in the risk impact statement.
8. A project group has been established to mirror the actions taken by the Council in order to fully address implications from General Data Protection Regulations (GDPR) which came into force on 25 May 2017. HTS has since outlined steps and work undertaken for GDPR and BSI ISO/IEC 27001 Information Security Management to the Council and is working with the Council's Officers to address the work required. A draft Information Sharing Protocol has been developed together with a HTS Information Sharing Log. In addition, a variation to the Services Agreement between HTS has been signed to update it for GDPR compliance. HTS continues to liaise with council officers to develop a Record of Processing Activities (RoPA) template and further progress will be reported regularly to the Sub Committee.
9. While good progress has been made to address the Information and Data Compliance risk, HTS will need to implement the controls and related employee training to enable the existing residual risk score to be reduced further.

## **IMPLICATIONS**

### **Place (Includes Sustainability)**

As contained within the report.

**Author: Andrew Bramidge, Project Director – Enterprise Zone and Interim Head of Planning**

### **Finance (Includes ICT)**

As contained within the report.

**Author: Simon Freeman, Head of Finance and Deputy to the Managing Director**

### **Housing**

As contained within the report.

**Author: Andrew Murray, Head of Housing**

### **Community Wellbeing (Includes Equalities and Social Inclusion)**

None specific.

**Author: Jane Greer, Head of Community Wellbeing**

### **Governance (Includes HR)**

As contained within the report.

**Author: Simon Hill, Head of Governance**

## **Appendices**

Appendix A – Strategic Risk Register

## **Background Papers**

None.

## **Glossary of terms/abbreviations used**

GDPR – General Data Protection Regulations

JPRM – Joint Performance Review Meetings

LATC – Local Authority Trading Company

RoPA – Record of Processing Activity

SMB – Senior Management Board