

REPORT TO: SHAREHOLDER SUB COMMITTEE

DATE: 25 JUNE 2019

TITLE: RISK MANAGEMENT

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RECOMMENDED that the Sub Committee notes:

- A** The strategic risks as relating to HTS (Property and Environment) Ltd (HTS) together with their analysis and mitigation.
- B** HTS's ongoing actions to address Information Governance and Data Compliance concerns from the Council

BACKGROUND

1. The SSC terms of reference includes responsibility to ensure 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, two strategic risks have been identified which impact upon the Council. These are: 'Provision of Repairs, maintenance, landscape and street scene services' provided by HTS, and; 'Information Governance' as relates to Data Protection compliance.

ISSUES/PROPOSALS

4. The HTS risk register monitors its own corporate risks as relates to the business. They are evolving documents and are reported to their Board quarterly. The Council's reviews regularly ensuring issues are escalated, if required, to the SSC.
5. HTS have 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 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. Since the last risk report to the SSC, HTS has continued to liaise with the Council regarding controls for Information Governance relating to compliance (for example, required ROPA and external information sharing protocol which was identified as a requirement from the Audit and Standards Committee) with General Data Protection Regulations (GDPR). Currently an Internal Audit review is being undertaken, and in liaison with the Council's Data Protection Officer (DPO) for advice and guidance as required. The adequacy of the cited controls in the strategic risk register will be assessed as part of the audit and the specific objectives are to clarify that:
 - a) HTS has a robust framework in place to ensure on-going compliance with the GDPR. This will be based on the Information Commissioner's Office checklist.
 - b) Appropriate and timely assurances are provided by HTS to the Council on the adequacy of its GDPR framework.
7. HTS will continue to work with the Council Officers to address any recommendations arising from that audit, which is expected to be available in June 2019 and will be reported to the next Audit and Standards Committee and also to the SSC. Actions taken by HTS will also be reported to both Committees.

IMPLICATIONS

Place (Includes Sustainability)

None specific.

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

Finance (Includes ICT)

None specific.

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

Housing

As outlined in 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 outlined in the report.

Author: Simon Hill, Head of Governance

Appendices

Appendix A – Strategic Risk Register

Background Papers

None.

Glossary of terms/abbreviations used

DPO – Data Protection Officer

HTS – HTS (Property and Environment) Ltd

GDPR – General Data Protection Regulations.

ROPA – Record of Processing Activities

SSC – Shareholder Sub Committee

SMB – Senior Management Board