

# OPERATIONAL RISK REGISTER

June 2014



## Performance and Projects - Shane Flynn

### PP\_R01 Lack of capacity to bring together all of the strands of the information required

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Tolerating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Library not established and Council services do not have access to information to plan and monitor services.  Members do not have sound information about citizens and the community to base decisions upon.		<ul style="list-style-type: none"> <li>- Customer Insight post established to lead process. Key information systems already in place.</li> <li>- Monthly strategy meetings to monitor achievements and progress.</li> <li>- Evidence Based Decision Making project established.</li> <li>- Citizen Insight function incorporated into CSCG contract with Northgate.</li> <li>- Customer Focus project established, which will gather data on customer needs</li> </ul>		<ul style="list-style-type: none"> <li>- EBDM PID</li> <li>- TOR of Customer Insight joint working group</li> <li>- Project documentation and TOR for Customer Focus group</li> </ul>	
<b>Sign Off and Comments</b>					
Sign Off Complete					
No change					

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PP_R02 Failure to develop a range of initiatives to contribute to the Council's improvement and efficiencies agenda					
<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
Books do not balance and services are at risk. Negative impact on Council Reputation.		- CMT support Dacorum Delivers improvement Programme - including corporate governance and 2 way communications mechanisms. - Programme and project management methodology in place to support continuous improvement. Performance Management cycle implemented to support Corporate Plan and Medium Term Financial Strategy.		- Project methodology guidance document. - Performance Management approach document. - Corporate Plan. - MTFS.	
Sign Off and Comments					
Sign Off Complete					
No change. The Budget Review Group began meeting in June and will gather options for efficiencies during the pre-budget setting and MTFS development.					

PP_R03 Services do not understand or support the need to innovate and improve.					
<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber

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Consequences	Current Controls	Assurance
Initiatives are designed, but full implementation is not achieved.	- CMT support Dacorum Delivers improvement Programme - including corporate governance and 2 way communication mechanisms.	- Performance and Improvement Team service plan 2014/15

### Sign Off and Comments

Sign Off Complete

No change. Group Managers have been invited to express interest in taking on project lead roles for the Dacorum Anywhere programme so as to increase involvement in corporate change.

### PP\_R04 Lack of capacity and financial resources to transform services through ICT

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	2 Medium	4 Green

Consequences	Current Controls	Assurance
Low levels of customer channel access shift. Lack of realisation of savings from channel shift. Customers are not able to access services in the way they wish.	- ICT Strategy and Improvement Plan. - Fully resourced ICT staffing structure (pending appointment of designated Team Leader). - Web architecture within ICT governance. - Web Content Editor in place to support channel shift. - Channel shift project included in CSCG contract and driven by financial incentives for contractor. - Dedicated project support- agreed for specific projects. - Technical project Manager in place	- ICT Strategy - Cabinet 21/01/14. - ICT staff structure. - TOR for joint Customer Insight working group. - Web and customer access strategy 2nd Edition (Cabinet May 2014).

### Sign Off and Comments

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Sign Off Complete

Team Leader appointed, ICT project manager appointed and additional infrastructure resource recruited.

## PP\_R05 Lack of 'buy-in' from services in terms of the culture changes needed to deliver innovative ways of working

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Progress halted and opportunities for savings and modernisation lost. Council reputation lowers and is seen as 'old-fashioned'.		<ul style="list-style-type: none"> <li>- Dacorum Delivers - internal improvements programme</li> <li>- t-3 programme working with a range of staff across the organisation in an 'activist' role to positively influence culture change.</li> <li>- Organisational Transformation Working Group acts as co-ordinating body to drive change</li> <li>- Dacorum Anywhere introducing new ways of working during roll out</li> </ul>		- Minutes of OT-CWG meetings	
Sign Off and Comments					

Sign Off Complete

No change. See response to PP\_R03.

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## PP\_R06 Lack of Resources

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Tolerating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
The continuous improvement programme will miss timescales and will slip		<ul style="list-style-type: none"> <li>- Programme Plan with resources linked</li> <li>- Regular cycle of reporting to Performance Board</li> <li>- Regular reconciliation of resources required to resources provided in project reports</li> <li>- Project Management methodology and gateway process in place</li> </ul>		<ul style="list-style-type: none"> <li>- Monthly project reports available on Corvu.</li> <li>- Project Management methodology document</li> </ul>	
<b>Sign Off and Comments</b>					
Sign Off Complete					
No change. Additional project management resources are developing in ICT and across projects by involvement of Group Managers.					

## PP\_R07 Other projects need heavy ICT resource

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
4 Very Likely	3 High	12 Red	1 Very Unlikely	2 Medium	2 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	

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The continuous improvement programme will be forced to slip or be put on hold	<ul style="list-style-type: none"> <li>- Project Plan with resources linked</li> <li>- High level plan of the Council's critical projects with resources</li> <li>- Dedicated GM, supportive staff structure and ICT project management resources in place.</li> <li>- weekly ICT project updates</li> </ul>	<ul style="list-style-type: none"> <li>- ICT staff structure chart</li> <li>- ICT Strategy (draft)</li> <li>- Project monitoring and control document (updated weekly)</li> </ul>
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**Sign Off and Comments**

Sign Off Complete

No change. The ICT strategy has been supplemented by draft work programmes as per the ICT service plan which will ensure delivery of core projects and develop a blueprint and change map for future ICT architecture.

## PP\_R08 Lack of Capital or Revenue funding

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Unable to deliver significant parts of the transformation programme.		The earmarked Management of Change Reserve and Technology Reserve are available to absorb revenue pressures if required. The Capital programme includes ongoing resources for maintaining the ICT asset base over a five year rolling programme.			

**Sign Off and Comments**

Sign Off Complete

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No change

## PP\_R09 Suitable electronic systems for incoming and outgoing post are not established in time for decant

<b>Category:</b> Financial	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Terminating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	2 Medium	6 Amber	3 Likely	1 Low	3 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Paper based systems are retained, reducing the capacity for flexible working. Change to new ways of working not achieved. Loss of information due to multiple systems in operation and increased use of mail posting to home addresses		<ul style="list-style-type: none"> <li>- Pilot work for incoming post completed as feasibility study</li> <li>- EDRMS system in place and being rolled out to all departments</li> <li>- Repographics equipment in place but integration software needed for outgoing post</li> </ul>		- Report to CMT 1 October 2013.	

### Sign Off and Comments

Sign Off Complete

Risk to be changed to completion of work in time for PSQ as decant is no longer happening.

## PP\_R10 Insufficient capacity to support increasing number of formal meetings

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Shane Flynn	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>

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3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Meetings are not adequately minuted so that all decisions are recorded appropriately. Reduced support to service departments from Business Support Officers, leading to inefficiencies in business activity		<ul style="list-style-type: none"> <li>- Full staffing complement under new structure in pooled arrangement</li> <li>- Voice recording facility in Mittel software</li> </ul>			
Sign Off and Comments					
<p>Sign Off Complete</p> <p>No change. Comprehensive audit of meetings supported by Corporate Support underway to achieve improved scheduling based on defined priorities.</p>					