OPERATIONAL RISK REGISTER

September 2014

Performance and Projects - Robert Smyth

PP_R01 Lack of capacity to bring together all of the strands of the information required

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Tolerating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green

Consequences	Current Controls	Assurance
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.	- Customer Insight post established to lead process. Key information systems already in place. - Monthly strategy meetings to monitor achievements and progress. - Evidence Based Decision Making project has been established a new project plan is currently being developed. - Citizen Insight function incorporated into CSCG contract with Northgate. Customer Focus project has been established and has set out a plan with a number of actions and recommendations for services. A review of existing business applications is continuing to ensure that we manage information in a smaller number of systems.	- EBDM PID - TOR of Customer Insight joint working group - Project documentation and TOR for Customer Focus group

Sign Off and Comments

Sign Off Complete

OPERATIONAL RISK REGISTER

September 2014

Work is continuing to develop our approach to insight and intelligence. In particular we will be looking to improve decision making as part of our EBDM process. Development of or new vision and approach to digital services will also help to create more insight for Members.

PP_R02 Failure to develop a range of initiatives to contribute to the Council's improvement and efficiencies agenda

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	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. PM training will be introduced. We will increase our capacity to directly support projects.	- Project methodology guidance document. - Performance Management approach document. - Corporate Plan. - MTFS. - Performance Team Service Plan

Sign Off and Comments

Sign Off Complete

Following a review of our approach to performance and programme management we are seeking to further develop our approach to the delivery of projects.

OPERATIONAL RISK REGISTER

September 2014

PP_R03 Services do not understand or support the need to innovate and improve.

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	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

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
The Performance and Projects team are currently outlining plans to promote innvotion and performance across all Depts.

PP_R04 Lack of capacity and financial resources to transform services through ICT

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	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	- ICT Strategy and Improvement Plan. - Fully resourced ICT staffing structure (pending recruitment of Help Desk Team Leader) - Web	- ICT Strategy - Cabinet 21/01/14. - ICT staff structure. - TOR for joint Customer Insight working group.

OPERATIONAL RISK REGISTER

September 2014

they wish.	architecture within ICT governance. - Web Content Editor in place to support channel shift. - Long term digital vision and implementation plan will be developed and implemented - Dedicated project support- agreed for specific projects. - Technical project Manager in place	- Web and customer access strategy 2nd Edition (Cabinet May 2014).

Sign Off and Comments
Sign Off Complete
A long term digital vision and implementation plan needs to be developed and implemented. This will set out our approach to issues including digital/web access, channel shift, digital inclusion and customer contact. Service planning will also ensure that the Dept. focuses on using its resources to maximise effectiveness and value for money.

PP_R05 Lack of 'buy-in' from services in terms of the culture changes needed to deliver innovative ways of working

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	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'.	- Dacorum Delivers - internal improvements programme - t-3 programme working with a range of staff across the organisation in an 'activist' role to positively influence culture change. - Organisational Transformation Working Group acts as co-ordinating body to drive change - Dacorum Anywhere introducing new ways of working during roll out	- Minutes of OT-CWG meetings

OPERATIONAL RISK REGISTER

September 2014

Sign Off and Comments

Sign Off Complete

Organisational Transformation Working Group is a key opportunity to help drive and embed cultural change. Work is currently underway to consider how this group can most effectively contribute to this change and performance agenda.

PP_R06 Lack of Resources

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Tolerating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green

Consequences	Current Controls	Assurance
The continuous improvement programme will miss timescales and will slip	- Programme Plan with resources linked - Regular cycle of reporting to Performance Board - Regular reconciliation of resources required to resources provided in project reports - Project Management methodology and gateway process in place	- Monthly project reports available on Corvu. - Project Management methodology document

Sign Off and Comments

Sign Off Complete

Services plans are being developed and a new approach to programme and project management is currently being proposed.

OPERATIONAL RISK REGISTER

September 2014

PP_R07 Other projects need heavy ICT resource

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	1 Very Unlikely	2 Medium	2 Green

Consequences	Current Controls	Assurance
The continous improvement programme will be forced to slip or be put on hold	- Project Plan with resources linked - High level plan of the Council's critical projects with resources - Dedicated GM, supportive staff structure and ICT project management resources in place. - weekly ICT project updates - New approach to service planning includes the requirement to consult with IT over relevant changes.	- ICT staff structure chart - ICT Strategy (draft) - Project monitoring and control document (updated weekly)

Sign Off and Comments

Sign Off Complete

Communication with IT is central and the new structures and approach is working well. Effective service planning also ensures that the Dept. is able to anticipate and respond to requirements.

PP_R08 Lack of Capital or Revenue funding

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score

OPERATIONAL RISK REGISTER

September 2014

3	4	12	2	2	4
Likely	Severe	**Red**	Unlikely	Medium	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.	IT Budgets

Sign Off and Comments
Sign Off Complete
New revenue and capital budgets have been submitted and several growth bids have been made for additional and necessary improvements. This includes PSN compliance and tablets for Members.

PP_R09 Suitable electronic systems for incoming and outgoing post are not established in time for decant

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Financial	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Terminating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3	2	6	3	1	3
Likely	Medium	Amber	Likely	Low	Green

Consequences	Current Controls	Assurance
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	- Pilot work for incoming post completed as feasibility study - EDRMS system established and in place and being rolled out to all departments. New dept. projects plans are being established to accelerate progress.	- Report to CMT 1 October 2013. - New EDRMS departmental project plans will be established

- Repographics equipment in place	

Sign Off and Comments	
Sign Off Complete	
The systems have been established and new project plans are being put in place to make sure roll-out progress is increased	

PP_R10 Insufficient capacity to support increasing number of formal meetings

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Infrastructure	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3	2	6	2	2	4
Likely	Medium	Amber	Unlikely	Medium	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	- Full staffing complement under new structure in pooled arrangement - Voice recording facility in Mittel software	

Sign Off and Comments		
Sign Off Complete		
Staffing is in place to support meetings. Work is currently underway on a digital admin platform.		