OPERATIONAL RISK REGISTER

December 2014

Performance and Projects - Robert Smyth

PP_R01 The organisation does not have the necessary systems, resources or capacity to support evidence based decision making

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	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green

Consequences	Current Controls	Assurance
Services do not have access to information to plan, deliver and monitor services. Members do not have sound information about citizens and the community to base decisions upon. Resources continue to be used in a way that does not maximise impact. We do not develop or promote innovative ways of working.	The controls that have been implemented mitigate risk by focusing on developing, improving and in some cases refining the systems and resources that are required to deliver evidence based decision making. In particular, the controls target interventions around the use of internal and external data, training for staff and tools and guidance to help frame thinking. The issue of capacity is also addressed by the establishment of a dedicated resources. This includes: - 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 tool kit has been	- EBDM PID -EBDM Tool Kit - TOR of Customer Insight joint working group - Project documentation and TOR for Customer Focus group

created and will be piloted in February and March.
- Citizen Insight function incorporated into CSCG contract with Northgate.
- Customer Focus project has been completed with a number of actions and recommendations for services.
- MOSAIC and Herts LIN have been rolled out to a number of teams in order that they can have access to more external information.

Sign Off and Comments

Sign Off Complete

The new EBDM tool-kit has been created and will be piloted in February and March. A general campaign to raise awareness about EBDM is also underway.As part of plans for Digital Dacorum we are also beginning to consider our longer term vision for CRM.

PP_R011 Failure to deliver Digital Dacorum leads to poor customer experiences and increased costs from calls and face to face visits

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
Failure to deliver an effective approach to digital services will lead to reputational damage. The customer experience will also suffer as residents cannot access services at a time and in a way that is best for them.	The controls that have been implemented mitigate the risk by ensuring that we have a clear and robust strategy and plan setting out how we will deliver our new digital vision. In particular, the controls address the different concerns of channel shift including the website look, the digital	- Digital Dacorum Strategy and Plan - Team Structure - OT CWG - TOR - Northgate Contract

| The financial benefits are also not realised. | experience, functionality and how you encouarge people to use online services.

The controls also contain details of resources to ensure that we have the capacity to deal with the risk.

The controls are:

Creation of a Digital Dacorum Strategy and Implementation Plan focused around 11 key projects.

Proposal to recruit specialist digital skills into the performance team.

Creation of departmental digital plans.

Support for digital is included as part of the contract with Northgate.

The Org. Transformation Corporate Working Group has responsibility for monitoring digital. | |
|---|---|---|

Sign Off and Comments

Sign Off Complete

Significant work has been undertaken recently to create a new digital strategy (Digital Dacorum) and put in place plans to develop our new approach. This is being presented at the Customer Focus Project Board for approval. If approved the programme (of 11 projects) would be launched in February.Work has also been done to raise our digital profile including two applications for pilot funding with the LGA and DCLG.

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PP_R012 Failure to deliver an effective corporate wide approach which ensures that projects are delivered on time and on budget

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
Poor project management leads to cost overruns, delays and poor outcomes. An inconsistent approach to projects also leads to issues of capacity and resources.	The controls that have been implemented mitigate the risk by ensuring that we have an effecitve and consistent approach to managing and monitoring projects. In particular, the controls look at the different elements of the project management process. This includes project guidance, project governance and budgeting. It also considers resources, training and monitoring. The controls are: - The monthly Performance Board scrutinises key programme performance. - The Corvu Project Management System enables senior managers to monitor and report on project performance. - Project management guidance is in place including the need to bring project initiation documents to CMT.	- Project guidance - Corvu Reporting - Monthly PB minutes - Performance and Project Structure

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- Each project has a formal governance process, for example a Project Board.

- The organsitation has a number of specialist project managers. External expertise has also been procured for major contracts.

- The Assistant Director of Performance and Projects is responsible for improving the quality of project management.

Sign Off and Comments

Sign Off Complete

A number of changes have been made to the reporting format to improve the quality of project reporting. Specialist expertise is also being recruited to ensure that there is capacity to deliver major regeneration projects. A review of our project management guidance has also been completed and the new tools will be piloted in the next two weeks.

PP_R013 Failure to deliver an effective corporate wide approach to performance monitoring and management

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
Lack of effective performance management causes issues with delivery and budgeting. An inconsistent approach to performance also causes	The controls that have been implemented mitigate the risk by ensuring that we have a robust and challenging approach to performance management.	- Corvu Reporting - Performance and Project Structure

negative impacts on other areas. Resources can be diverted when they are better spent elsewhere.	In particular, the controls address the different elements of performance management including effective monitoring, challenge for those who arent performing and the chance to share best practice. The controls also contain details of resources to ensure that we have the capacity to deal with the risk. The controls are: The Corvu Performance Management System enables senior managers to monitor and report on performance. The Performance Team has introduced a series of measures including performance clinics and coaching. The Assistant Director of Performance and Projects is responsible for improving the quality of performance management.

Sign Off and Comments

Sign Off Complete

A number of changes have been made to the reporting format to improve the quality of performance reporting. Performance clinics have also begun to improve the quality of commentary and check that we have a consistent approach to managing performance. A review of performance management standards is also underway to raise awareness of good practice and identify areas for improvement.

PP_R03 Services are not supported to deliver continuous improvement and innovation

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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
Services stay the same and do not improve to match increasing customer expectations Opportunity costs from not delivering new innovations Poor reputation	The controls that have been implemented mitigate the risk by ensuring that we actively support and develop an environment that encourages innovation. In particular, the controls look at practical ways to stimulate new ways of thinking and the introduction of the strategy will help promote a research environment. The dedicated resources also help to create new ideas. The controls are: - Dacorum Anywhere programme highlights need for review of working practices - Making it Real work with T3 designed to highlight areas for improvement - An innovation and research strategy is currently in development. - The service planning process has enabled the	- Performance and Improvement Team service plan 2014/15 - Northgate contract - T3 work - EBDM tool kit

organisation to review how it works and identify opportunities for improvement.

- The evidence based decision making toolkit also includes exercises to promote effeciency.

- Proposals are also in place for the Performance and Project team to undertake mini-service reviews.

- Insight funding is included as part of the Northgate contract.

- Submissions are being made to a number of pilots

-Better@Dacorum helps to stimulate new ideas and challenge existing orthodoxies.

Sign Off and Comments

Sign Off Complete

A number of tools and activities have been introduced in order to improve our approach to innovation. Development is also underway on an innovation and research strategy. Two bids for pilot funding have also been made to the DCLG and LGA.

PP_R04 The organisations approach to ICT does not enable us to provide a high quality and cost effective service

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

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Consequences	Current Controls	Assurance
Poor ICT supports makes it more difficult for departments to provide their services. Issues with ICT can also have a negative impact on the reputation of the Council. There can be significant knock-on costs as a result problems with IT. It will also make other agenda's like Digital Dacorum harder to implement.	The controls that have been implemented mitigate the risk by ensuring that we have the necessary plans, budgets and vision in place to deliver a high quality IT service. In particular, the controls address the service plan and focus of the team as well as approved SLA's and budgets. It also covers the longer term direction of travel including the introduction of Wi-Fi and SharePoint. The controls are: - ICT Strategy and Improvement Plan. - Fully resourced ICT staffing structure. - Web Content Editor in place to support Digital Dacorum. - Long term Digital Dacorum vision and implementation plan has been developed. - Dedicated project support- agreed for specific projects. - Technical project Manager in place. - A number of IT projects are being delivered including SharePoint and Wi-Fi.	- ICT Strategy - Cabinet 21/01/14. - ICT Service Plan. - ICT staff structure. - TOR for joint Customer Insight working group. - Web and customer access strategy 2nd Edition (Cabinet May 2014).
Sign Off and Comments		
Sign Off Complete		

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The ICT team has made good progress in hitting its key indicators and providing a quality service to the organisation. It is also continuing to deliver a number of improvements including including Wi-Fi and an upgrade to Share Point.

PP_R06 Lack of resources or capacity to deliver the work of corporate support or performance and projects

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	2	6	2	2	4
Likely	Medium	Amber	Unlikely	Medium	Green

Consequences	Current Controls	Assurance
The continuous improvement programme will miss timescales and will slip	The controls that have been implemented mitigate the risk by ensuring that we have an effective approach to planning, budgeting and managing the corporate admin and performance teams. In particular, the controls utilise well established Finance and DBC wide controls (including service planning) as well as relying on day to day management. The controls are: - Regular reconciliation of resources required to resources provided in project reports - Project Management methodology and gateway process in place - Regular one to ones are held with GM's and TL's - service plans in place for both teams - Monthly reviews of budgets with Finance	- Monthly project reports available on Corvu. - Project Management methodology document - Minutes from review with finance - Service plans

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Sign Off and Comments
Sign Off Complete
Service Plans for Corporate Support and Performance and Projects have been produced. This sets out the aims and objectives over the next twelve months. A number of improvement projects are also underway including on complaints, project management, performance management and research and innovation. The Digital Dacorum project also picks up on the work of EDRMS and paperless office which will benefit corporate support.

PP_R09 Failure to deliver a 'paperless' approach to work including reducing outgoing and incoming post levels

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 Likely	3 High	9 Amber	3 Likely	2 Medium	6 Amber

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	The controls that have been implemented mitigate the risk by ensuring that we have developed and implemented the technology for a paperless office (EDRMS), as well as addressing the culture and business process side. In particualr this dual approach will ensure that DBC can benefit from the opportunities and mitigate any issues that occur with the use of this approach. The controls include: - EDRMS system established and in place and being	- Report to CMT 1 October 2013. - New EDRMS departmental project plans will be established

	rolled out to all departments.	
	-New dept. projects plans are being established to accelerate progress.	
	- Repographics equipment in place	
	- Training programme has been rolled out.	
	- As part of the Digital Dacorum programme we have establised a project to focus on paperless offices.	

Sign Off and Comments

Sign Off Complete

Progress has been made on the roll-out of the EDRMS infrastructure with 75% of it in place. It is intended that the remaining file build will be completed by March 2015. Once this is completed further work will be undertaken to ensure that we focus on the culture and business processes necessary to operate a properly paperless way of working.