

OPERATIONAL RISK REGISTER

June 2015



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: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: 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	
<p>It's vital that we provide services which deliver for residents while maximising value for money.</p> <p>Creating an evidence based environment ensures that we direct resources to policies, programmes and approaches which are likely to have the most benefit.</p> <p>It also identifies those activities which might need to be stopped or changed.</p> <p>The programme also ensures that we learn lessons from other organisations as well as from the latest research and pilots.</p> <p>Crucially the use of data can help to identify what issues need to be addressed.</p> <p>However if we do not use evidence as the basis for designing and delivering services it will lead to:</p>		<p>Our Approach</p> <p>Knowing What Works is a programme of activities which will create and promote a culture of using evidence to make decisions.</p> <p>The programme is based around 8 projects which come together to address the different elements of an evidence-led organisation</p> <ul style="list-style-type: none"> - Project 1: Promoting our approach - Project 2: Focusing on outcomes - Project 3: How to evaluate services - Project 4: Promoting good practice - Project 5: Making best use of data - Project 6: Using behavioural insight - Project 7: How to re-design services - Project 8: Using data to make discoveries 		<ul style="list-style-type: none"> - Established a programme of activity (Knowing What Works) to provide a clear vision and approach to addressing the risk - Produced and implemented strategy on behavioural insight - Implemented proposals to increase use of outcomes - Revised project management guidance to ensure evaluation is a key element - Regular MOSAIC training provided to staff <p>What Next</p> <ul style="list-style-type: none"> - Providing process re-engineering training (Sept) - Reviewing our reporting system to identify 	

OPERATIONAL RISK REGISTER

June 2015



<ul style="list-style-type: none">- poor performance/outcomes- waste- duplication- opportunity costs	<p>Each of these projects sets out a series of actions which have been or are being delivered over the next 12 months.</p> <p>These actions are supported by x2 Knowing What Works specialists.</p> <p>Progress so Far</p> <ul style="list-style-type: none">- A Knowing What Works strategy has been created and launched (Project 1)- A series of communications and meetings have been held to publicise the programme (Project 1)- The KPIs' for each team have been reviewed and recommendations have been made to increase the use of outcomes (Project 2)- A number of staff members are taking part in the Cabinet Office Commissioning Forum (Project 2)- The Love Your Neighbourhood Programme has demonstrated the use of holistic evaluation (Project 3)- The project management process has been changed to put a greater focus on post project evaluation and assessment (Project 3)- A nudge strategy has been published setting out how the organisation can use behavioural insight (Project 6)- A series of behavioural insight reviews have been undertaken with HR, Housing and Regulatory services and an action plan is being implemented to introduce the new ideas (Project 6)- DBC is part of a LGA funded pilot to use design theory	<p>development opportunities (Sept)</p>
---	--	---

OPERATIONAL RISK REGISTER

June 2015



	to re-design our ASB service (Project 7) - DBC provides monthly training to staff on using MOSAIC to map statistical trends (Project 8)	
--	--	--

Sign Off and Comments

Sign Off Complete

Following a narrow focus on data, a new vision and approach has been created. This vision has led to the creation of the Knowing What Works programme and progress has been made in delivering a number of actions which will control this risk. This is why the risk has been reduced to a residual probability of 2.

However the programme is ongoing and as such there are more controls that need to be put in place including the further roll-out of behavioural insight and development of business intelligence.

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

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
86% of adults use the internet regularly and people expect services that reflect their 24/7 online lives. Digital services also provide an opportunity to use new technology to reduce costs while maintaining or improving service quality. However if we don't deliver our digital vision (Digital		Our Approach We have created a detailed Digital Dacorum programme and plan of 10 projects which will transform our digital approach and ensure that we deliver a modern, 24/7 experience. - Project 1: website re-design		Assurance - Digital Dacorum Strategy and Implementation Plan in place - Website re-design process underway - Content management process in place	

OPERATIONAL RISK REGISTER

June 2015



<p>Dacorum) this will have major consequences.</p> <p>It will mean that we can't provide services in the most effective way. It will also lead to improvements and savings not being realised. Also systems and processes will fall further behind the expectations of residents.</p> <p>Failure to deliver an effective approach to digital services will also result in reputational damage.</p> <p>The customer experience will also suffer as residents cannot access services at a time and in a way that is best for them.</p>	<ul style="list-style-type: none"> - Project 2: improving website content - Project 3 & 4: Re-designing services to make them digital ready and putting them online - Project 5: E-signatures - Project 6: Developing policy ideas to encourage people to channel shift - Project 7: Reducing digital exclusion - Project 8: Using social and digital media - Project 9: Increasing use of direct debits - Project 10: CRM and developing a citizens portal <p>Each of these projects sets out a series of tasks and the programme runs for 24 months.</p> <p>These actions are managed and supported by the Digital team and governed by a Digital Project Board. They are also monitored at the monthly Performance Board.</p> <p>Progress so Far</p> <ul style="list-style-type: none"> - A Digital Dacorum Strategy and Implementation Plan have been launched - A designer has been commissioned and has begun work on our new website design (Project 1) - A new strategy for managing website content has been developed and agreed at CMT (Project 2) - Development on an online solution for DBC related revenues and benefits services is advanced. (Project 3&4) - An LGA funded research project is underway to 	<ul style="list-style-type: none"> - Re-design and development of revenue benefits process - New online payment portal introduced and £1.5m has been taken since June <p>What Next</p> <ul style="list-style-type: none"> - Website re-design goes live (February 2016) - New services are put online in housing, waste, legal, ASB and the environment (Sept 15 - Jan 17) - Development of new digital inclusion measures (Sept - Sept 16)
--	--	--

OPERATIONAL RISK REGISTER

June 2015



develop options for channel shift (Project 6) - A detailed action plan has been developed for supporting digital inclusion (Project 7) - A new social media strategy has been developed and implemented (project 8) - Direct debits have been extended and a new payment portal has been introduced (Project 9)
--

Sign Off and Comments

Sign Off Complete

Digital Dacorum has established a clear and realistic plan and good progress is already being made. The programme is being managed using the new project management approach and there is a well defined programme management structure and a well defined structure for managing each of the individual projects.

The key challenge is the inter-relationship between each of the 10 projects and this is why the whole agenda is being managed together.

Examples of the progress include the appointment of a new team and the commissioning of a website designer. We have also created a test process for an online benefits process.

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

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
The ability to manage projects is vital if we are going to successfully deliver the Council's objectives and priorities.		Our Approach We have recently launched Managing Projects		Assurance - 71% of strategic projects (28) are on target	

OPERATIONAL RISK REGISTER

June 2015



<p>Good project management ensures that we deliver on time and under budget. It also enables us to maximise value for money and ensure that projects achieve what they set out to do.</p> <p>Poor project management leads to cost overruns, delays and a failure to achieve outcomes.</p> <p>It also causes opportunity costs and it can lead to the requirement for resource intensive remedial work in the future.</p>	<p>Successfully, our new approach to project management.</p> <p>This provides detailed step-by-step guidance on how to develop, define, manage and evaluate a project.</p> <p>In addition we have a Corporate Project Management - Team Leader with responsibility for monitoring and improving the quality of project management.</p> <p>On a monthly basis we also produce programme monitoring reports which are scrutinised at a Member led Performance Board.</p> <p>Additional external expertise has also been procured for major contracts.</p>	<ul style="list-style-type: none"> - New project management approach has been launched - Introduction of project clinics to address issues or concerns - recruitment of specialist corporate project manager <p>What Next</p> <ul style="list-style-type: none"> - Roll out of project management passport to ensure a high standard amongst all project managers (Sept)
---	---	--

Sign Off and Comments

Sign Off Complete

The introduction of new project management guidance coupled with the established monitoring processes and the recruitment of a corporate project management specialist has improved our approach. As a consequence the risk has been downgraded. However work is ongoing and the future introduction of a project management passport should strengthen controls further.

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

Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber

OPERATIONAL RISK REGISTER

June 2015



Consequences	Current Controls	Assurance
<p>Managing performance is key to ensuring that we provide high quality and cost effective services.</p> <p>Good performance management requires a robust approach to measuring and monitoring key indicators. It also requires the focus, tools and support necessary to address poorly performing services.</p> <p>Without an effective approach to performance we are likely to see high costs, poor service and a failure to achieve our objectives.</p> <p>It also causes opportunity costs with resources being diverted away from other areas.</p>	<p>Our Approach</p> <p>Our approach to performance management is robust, effective and based around 3 key themes:</p> <p>Monitoring</p> <p>We have a well established performance management system (Corvu) which provides detailed reports on a monthly, quarterly and annual basis.</p> <p>We have also created a new report to monitor productivity by focusing on the most important 25% of indicators.</p> <p>Scrutiny</p> <p>We run monthly performance clinics with teams to focus on areas of poor performance and to develop suggestions for improvement</p> <p>We hold a monthly performance meeting with Members and the Corporate Management Team and Chief Operating Group also review performance</p> <p>Target Setting</p> <p>Each Group Manager and Assistant Director had to agree targets and these were subject to a 'critical friend'</p>	<p>Assurance</p> <ul style="list-style-type: none"> - 76% of quarterly indicators in June were in target (i.e. Green) and 20% were over target but within the accepted tolerance (i.e. Amber). - The overall trend between this quarter and the previous quarter was positive. - 82% of the 'most important indicators' were on target. - The Corvu system is established and in place. - A specialist Corporate Performance Management - Lead Officer is in place.

OPERATIONAL RISK REGISTER

June 2015



challenge to ensure they were as stretching as they could be.

Sign Off and Comments

Sign Off Complete

A robust process has been established for the management of performance including regular reporting and scrutiny. In addition we have taken steps to proactively challenge poor performance and to provide suggestions for improving how a service works.

It is also useful to note that the overall trend for performance has improved over the last quarter and in comparison to the previous year.

Nevertheless this work is ongoing and that is why the residual probability is not reduced further.

PP_R03 Services are not supported to deliver continuous improvement and innovation

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
There are a wide range of challenges and pressures on DBC so it is important that services are able to do more with their resources. In order to deliver value for money we need to foster a culture of improvement and innovation. Without improvement and innovation we are likely to see worse performance, greater pressures and wasted		Our Approach We have reprofiled the performance and projects team and created a new Corporate Improvement and Innovation Team which includes a Digital Innovation Officer and a Improvement and Innovation Officer. The role of the team is to stimulate innovation and improvement and this is done through a number of key		Assurance - The Corporate Improvement and Innovation Team is in place. - DBC has recently been involved in three external innovation pilots. - A statutory notice pilot (funded by the DCLG)	

OPERATIONAL RISK REGISTER

June 2015



<p>resources.</p> <p>A lack of improvement and innovation also leads to disengagement from residents and staff.</p> <p>Innovation and improvement can come in the form of new technology but it can also be inspired through lean processes and improved structures and models of delivery.</p>	<p>ways:</p> <p>Knowing What Works</p> <p>The Knowing What Works programme (see earlier risk) stimulates innovation and new ideas as well as getting teams to make better use of analysis and data.</p> <p>Innovation Labs</p> <p>We have recently launched our 'innovation lab' which is a project to help teams re-design the way they provide services.</p> <p>The labs run over a couple of days and they use a series of innovation techniques and exercises to help teams re-think about how they work and come up with innovative solutions.</p> <p>External Research</p> <p>We have recently been selected as candidates for a number of innovative pilots including LGA funded research into design theory.</p> <p>We have also finalised a research plan.</p> <p>Improvement Activities</p> <p>We have undertaken a number of process reviews as</p>	<ul style="list-style-type: none"> - A channel shift pilot (funded by the LGA) - A design theory pilot to improve ASB (funded by the LGA) - Creation of innovation lab idea <p>What Next</p> <ul style="list-style-type: none"> - Introduction of online 'ideas box' for residents (Oct) - Development of internal 'innovation think tank' to prototype new ideas (Oct)
---	--	--

OPERATIONAL RISK REGISTER

June 2015



part of Digital Dacorum and we are currently developing a tool kit to help other teams review their service.

The Better@Dacorum programme also allows people to ask questions and it raises awareness about different improvement agendas.

Sign Off and Comments

Sign Off Complete

A number of initiatives and actions have been put in place to promote a culture of innovation. Successful applications to externally funded pilots is also welcome. However we recognise that moving to a culture of innovation is not an immediate process and that is why the residual probability has not been reduced further.

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

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
ICT is central to the performance of departments. This includes both hardware and business applications (i.e. software) as well as the service desk and special projects. Poor ICT makes it difficult for departments to provide their services effectively. Issues with ICT can also have a negative impact on the reputation of DBC.		Our Approach We have put in place the necessary structure, plans, budgets and vision to deliver a high quality IT service. The service is based around four core elements: - the service desk - infrastructure		Assurance KPI's ICT01 - % of incidents resolved in less than 2 days - 92.38% (Target 90%) ICT02 - Availability of primary systems - 100% (Target 99%)	

OPERATIONAL RISK REGISTER

June 2015



<p>In addition there can be significant knock-on costs as a result problems with IT including delays in processing benefits or responding to service requests.</p> <p>It will also make other agenda's like Digital Dacorum harder to implement.</p>	<ul style="list-style-type: none"> - special projects - business applications <p>In terms of controls we have introduced a robust structure and a detailed ICT Strategy and Improvement Plan.</p> <p>We also have an established staffing compliment and budget which has been shaped around the ICT needs of DBC.</p> <p>Having a technical project Manager in place has also ensured that further improvements are made.</p> <p>Each service has an in-team specialist business applications resource and there is a central applications lead to coordinate work.</p> <p>Our service desk is closely monitored and they are managed by a dedciated Team Leader covering infrastructure and service desk.</p> <p>All staff are provided with the necessary hardware including the roll out of laptops as part of the Dacorum Anywhere programme.</p>	<p>WEB01 - Website availability - 99.9% (Target 99.9%)</p> <ul style="list-style-type: none"> - Full staffing complement. - ICT Service Plan. - TOR for joint Customer Insight working group. - Digital Dacorum Strategy
<p>Sign Off and Comments</p>		
<p>Sign Off Complete</p>		

OPERATIONAL RISK REGISTER

June 2015



Performance within the ICT service remains positive as evidenced by the service KPIs. In addition the department have taken steps to make improvements in a number of areas including Wi-fi, SharePoint and in network resilience.

A number of reviews are currently being undertaken in advance of the move to the Forum to ensure we support the organisations broader move to mobile working.

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

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: 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	
<p>The Performance and Projects Team and the Corporate Admin Team are key central resources which support the organisation in a number of areas including:</p> <ul style="list-style-type: none"> - performance and project management - digital services - innovation and improvement - corporate support - postage, printing and scanning - delivery of electronic document management - complaints <p>Without these functions it is likely that services would be more costly, inefficient and would deliver worse outcomes.</p>		<p>Our Approach</p> <p>We have put in place the necessary structure, plans, budgets and vision to deliver cost effective services.</p> <p>In particular, the controls utilise well established finance and DBC wide controls (including service planning) as well as relying on day to day management.</p> <p>A number of improvement activities have also taken place including reprofiling the team to increase focus on corporate improvement and innovation.</p> <p>We also have a well suite of established performance indicators.</p>		<p>Assurance</p> <p>All performance indicators are in target (i.e. Green):</p> <ul style="list-style-type: none"> - % Stage 1 complaints dealt with on time (89.17%) - % Stage 2 complaints dealt with on time (84.21%) - % Stage 3 complaints dealt with on time (100%) <p>- Services are being delivered on or just below budget</p> <p>- All live projects directly managed by the service are being delivered on time and in budget.</p> <p>- Service Plans for both Corporate Improvement and Innovation and Corporate Support are published.</p>	

OPERATIONAL RISK REGISTER

June 2015



<p>The ability of the organisation to improve and change would also be reduced and the move to a more digital way of working would be negatively impacted.</p> <p>It would also be necessary to contract other providers to undertake work, for instance scanning which would come with a cost.</p>	<p>In addition the team contains a number of qualified project managers which helps ensure that new tasks are delivered on time and in budget.</p>	
---	--	--

Sign Off and Comments

Sign Off Complete

Both teams have undergone change and restructure to ensure that they are lean and fit for purpose. Also as the KPI show they continue to provide a good and cost effective service.

More broadly the teams are also focused on helping other services to deliver including e-post and scanning.

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

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: Terminating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
<p>The move to a 'paperless office' is a key consequence and driver for a more flexible and digital way of working.</p> <p>In 2014/15 DBC spent over Â£28k on internal printing and an estimated Â£10k on paper.</p>		<p>Our Approach</p> <p>The roll out of Dacorum Anywhere (which includes provision of laptops, phones and the ability to work remotely using Citrix) has reduced the need to use paper as a flexible communication tool.</p>		<p>Assurance</p> <p>- Northgate has digitised over 2.2 million documents and our internal admin team has scanned thousands of documents.</p>	

OPERATIONAL RISK REGISTER

June 2015



<p>Paper also attracts significant storage and disposal costs and this issue will intensify as we move over to the streamlined Forum.</p> <p>The use of paper also undermines efforts for digital efficiency and it reinforces old fashioned processes and approaches.</p> <p>Ultimately it sends out the wrong message and undermines the cultural change that we are trying to deliver as part of Digital Dacorum.</p>	<p>Our Digital Dacorum programme is designed to reduce postage and printing over the next 2 years. This includes putting paper-based services online and reducing the amount of administration associated with processes.</p> <p>We have implemented electronic document management including e-post which significantly reduces the need for paper.</p> <p>We have also embarked on a major programme of back-scanning and archiving of paper records.</p> <p>we have a reprographics department in place to manage printing and we run regular reports and monitor costs to address high instances of personal printing.</p> <p>We have also secured an ambitious commitment from CMT to reduce internal printing by 25% by January.</p>	<ul style="list-style-type: none"> - In Q1 (2015/16) we printed 77k sheets of paper. - EDRMS is operational and staff are using e-post. - The Forum Cultural Project has been set up and this will identify ways to reduce paper usage. <p>What Next</p> <ul style="list-style-type: none"> - Work with individual teams to reduce printing on a quarter by quarter basis (Ongoing)
--	--	---

Sign Off and Comments

Sign Off Complete

While a number of improvements and controls have been put in place this has not yet translated into reductions in paper usage. As a result the probability remains at a level 3 under the existing or future controls have begun to have more of an impact.