



Public Document Pack

FINANCE AND RESOURCES OVERVIEW AND SCRUTINY AGENDA

Scrutiny making a positive difference: Member led and independent, Overview & Scrutiny Committees promote service improvements, influence policy development & hold Executive to account for the benefit of the Community of Dacorum.

TUESDAY 6 MARCH 2018 AT 7.30 PM

CONFERENCE ROOM 2 - THE FORUM

The Councillors listed below are requested to attend the above meeting, on the day and at the time and place stated, to consider the business set out in this agenda.

Membership

Councillor Howard	Councillor Silwal
Councillor Herbert Chapman (Chair)	Councillor Taylor
Councillor Douris (Vice-Chairman)	Councillor Tindall
Councillor Clark	Councillor Adeleke
Councillor E Collins	Councillor Armytage
Councillor Fethney	Councillor McLean

Substitute Members:

Councillors Anderson, Brown, Guest, Link, Matthews, Ransley, W Wyatt-Lowe and England

For further information, please contact rebecca.twidle@dacorum.gov.uk

AGENDA

1. MINUTES

To confirm the minutes from the previous meeting

2. APOLOGIES FOR ABSENCE

To receive any apologies for absence

3. DECLARATIONS OF INTEREST

To receive any declarations of interest

A member with a disclosable pecuniary interest or a personal interest in a matter who attends a meeting of the authority at which the matter is considered -

- (i) must disclose the interest at the start of the meeting or when the interest becomes apparent

and, if the interest is a disclosable pecuniary interest, or a personal interest which is also prejudicial

- (ii) may not participate in any discussion or vote on the matter (and must withdraw to the public seating area) unless they have been granted a dispensation.

A member who discloses at a meeting a disclosable pecuniary interest which is not registered in the Members' Register of Interests, or is not the subject of a pending notification, must notify the Monitoring Officer of the interest within 28 days of the disclosure.

Disclosable pecuniary interests, personal and prejudicial interests are defined in Part 2 of the Code of Conduct For Members

[If a member is in any doubt as to whether they have an interest which should be declared they should seek the advice of the Monitoring Officer before the start of the meeting]

4. PUBLIC PARTICIPATION

An opportunity for members of the public to make statements or ask questions in accordance with the rules as to public participation

5. CONSIDERATION OF ANY MATTER REFERRED TO THE COMMITTEE IN RELATION TO CALL-IN

6. ACTION POINTS FROM THE PREVIOUS MEETING

To follow

7. FINANCE & RESOURCES - Q3 PERFORMANCE REPORT

To follow

8. LEGAL GOVERNANCE & DEMOCRATIC SERVICES - Q3 PERFORMANCE REPORT (Pages 3 - 9)

9. PERFORMANCE, PEOPLE & INNOVATION - Q3 PERFORMANCE REPORT (Pages 10 - 30)

10. WORK PROGRAMME (Pages 31 - 33)



AGENDA ITEM:

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	6 th March 2018
PART:	1
If Part II, reason:	

Title of report:	Quarter 3 Performance Report – Legal Governance and Democratic Services
Contact:	Cllr Neil Harden, Portfolio Holder for Residents and Corporate Services Author/Responsible Officers: Mark Brookes (Solicitor to the Council) Jim Doyle, Group Manager (Democratic Services)
Purpose of report:	To provide Members with the performance report for quarter three in relation to Legal Governance and Democratic Services.
Recommendations	That Members note the report.
Corporate objectives:	Resources and Value For Money; Optimise Resources and Implement Best Practice.
Implications:	<u>Financial</u> None.
'Value For Money Implications'	<u>Value for Money</u> Monitoring Performance supports the Council in achieving Value for Money for its citizens.
Risk Implications	Risk Assessment completed for each service area as part of service planning and reviewed quarterly.

Equalities Implications	Equality Impact Assessment completed for each service area as part of service planning and reviewed quarterly.
Health And Safety Implications	None
Consultees:	Cllr Neil Harden, Portfolio Holder for Residents and Corporate Services
Background papers:	Annex 1: Quarter 3 Performance Report Annex 2: Quarter 3 Operational Risk Register

1. Members will find attached to this report the Corvu performance data for Legal Governance and Democratic Services, together with the Operational Risk Register, in relation to quarter 3 of 2017/18.
2. Members will also note that the only Operational Risk which falls within this area is CE_R01 Failure to deliver successful elections.

LEGAL GOVERNANCE

The Legal Team

3. The Legal Team frequently represent the Council in the courts and tribunals, leading on injunctions, prosecutions and defending employment tribunal cases and judicial review proceedings. In the last quarter the Legal team presented the following cases in court:-
 - Obtained two closure orders for properties in Berkhamsted to prevent anti-social behaviour (drug use) from continuing, both cases featured on the front page of the gazette.
 - Successfully prosecuted a driver for operating without a private hire licence. Sentenced to £250 fine and £30 victim surcharge.
 - Settled one employment tribunal claim against the Council.
4. The team have been active completing a number of planning and conveyancing transactions bringing significant income into the Council. In the last quarter there were over 120 new instructions actioned which were a mixture of new leases, licences, contracts, right to buys, and S.106 planning agreements.
5. Nargis Sultan (Lead Litigation Lawyer) joined the team in February and replaces Barbara Lisgarten (Legal Governance Team Leader) who left in December. Nargis will lead the team which deals with criminal and civil litigation.

The Licensing Team

6. The last quarter was very much business as usual with no significant service developments to report.
7. The new Licensing Team Leader (Nathan March) will be joining the Council on 15th March from Chiltern District Council.

DEMOCRATIC SERVICES

Elections/Electoral Registration

8. Quarter 3 has been spent carrying out the annual canvass. Rolling registration was frozen and all electors were updated in order to publish the register on the 1st of December 2017. This was successfully completed and we had a return of 90% of the 63,896 Household Enquiry Forms (HEF) which were sent out to all properties across Dacorum. Reminder forms were issued and then followed up with personal canvasser visits.

Canvass figures

Household Enquiry Forms returned: 57,492
Manual amendments made: 8,955
Total number of No change responses: 47,683
No changes received in the post: 15,056

Individual Voter Registration responses: 32,627
Telephone: 8,442
Text: 4,408
Internet: 19,777

Electorate as at 1/12/17: 112,880

9. **Kings Langley Parish Poll**
A Parish Poll was organised in Kings Langley and held on the 14th of December 2017 to ask residents if they believed the green belt in and around the parish should be developed, as being considered in the Dacorum Local Plan 2017 consultation.

The total number of votes received was 1375, which was a 33.84% turnout. There were 1360 who voted NO to the green belt being developed and 13 who voted YES with 2 spoilt papers.
10. **HMP The Mount prisoner council election**
A prisoner council election was held at HMP The Mount on the 19th of December 2017, which is the 18th of its kind. The election was run by Userveice and supported by DBC. The purpose was to elect prisoners to an internal council. All prisoners were invited to vote and Electoral Services

carried out the count and ensured it was carried out in a fair and accurate manner.

Member Support Services

11. During Quarter 3, in addition to helping to organise the election and Parish Poll, Member Support managed the business as usual and carried out the following:

- Published 21 agenda
- Completed 18 sets of minutes
- Spent 42.5 hours at evening meetings
- Processed 52 public speakers at Committee
- Published 3 Portfolio Holder Decisions
- Published 5 Officer Decisions
- Spent 1 hours 20 minutes at daytime meetings

Town & Parish Liaison

12. During the quarter the following were supported:

- 1x Organised and Chaired the Town & Parish Clerks Meeting
- Mayor's visits to Nash Mills Parish council and Chipperfield Parish Council
- 2x Community Association Meetings
- Visited the Ambulance Station with the Mayor
- Organised and attended the Town & Parish Council Conference
- Visits to Bennetts End Community Centre and Highfield Community Centre with the Mayor
- Facilitated the Community Action Dacorum AGM

13. The Corporate Support Team, which includes Directorate Support, the print and post room and also deals with customer complaints has transferred from the Performance, People and Innovation Team. The 'new' Corporate Support Team will combine with Members Support to provide greater resilience and efficiencies going forward and will be led by Cassie O'Neil at Team Leader Level and Jim Doyle at Group Manager level. Any performance matters and service developments in that area will therefore be reported in this report going forward.

OPERATIONAL RISK REGISTER

December 2017



Chief Executive's Unit - Mark Brookes

CE_R01 Failure to deliver successful elections

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Mark Brookes	Portfolio Holder: Neil Harden	Tolerance: Treating
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Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green

Consequences	Current Controls	Assurance
<p>Legal sanction and re-run of election at DBC expense. Loss of faith in elections process. Intense scrutiny on future referenda Potential 'Failed service' designation from Electoral Commission. Personal Financial liability for Returning Officer. Invalid or unsubstantiated election Results. Dissatisfaction of key stakeholders with the borough council elections and the process for future referenda.</p>	<ul style="list-style-type: none"> - Election Preparation Plan and Risk Assessment - Establish Election Team, allocate resources, audit and prepare equipment - Oversee actual Election - Check Results - Conclude election paperwork - Clear and Store election equipment - Review outc 	<p>The County Council and Parliamentary elections (May/June 2017) were conducted successfully which demonstrates the effectiveness of a comprehensive action plan which is monitored and updated every two weeks during election preparation by the Chief Executive, as the Returning Officer, the Solicitor to the Council, the Corporate Director (Finance and Operations) and the Group Manager (Democratic Services) as the three Deputy Returning Officers.</p>

Sign Off and Comments

Sign Off Complete
Existing controls are sufficient.

Indicator Name	Results Dec-2017	Last Quarters Results Sep-17	Last Years Results Dec-16	RAG	Comments	Actions
Dacorum Delivers - Performance excellence						
LG03 - Percentage of Right to Buy documents sent to tenants/their Solicitors within 15 working days of receipt of full instructions	100% 8 / 8 Info Only	100% 15 / 15 Info Only	100% 27 / 27 Target: 100		No Comments	No Info
LG06 - Percentage of housing possession proceedings commenced within 20 working days of receipt of full instructions	100% 0 / 0 Info Only	100% 2 / 2 Info Only	100% 2 / 2 Target: 100		No Comments	No Info
LG09 - Percentage of prosecution proceedings commenced within 20 working days of receipt of full instructions	100% 0 / 0 Info Only	100% 4 / 4 Info Only	100% 1 / 1 Target: 100		No Comments	No Info
Dacorum Delivers - Reputation and profile delivery						
DPA01 - Percentage of DPA requests met in 40 days	100% 16 / 16 Target: 100		100% 11 / 11 Target: 100	0 0 3	No Comments	No Info
CS02a - Percentage stage 1 complaints resolved in 15 days for the Council	91.36% 74 / 81 Target: 80	80.3% 53 / 66 Target: 80	90.7% 117 / 129 Target: 80	1 0 3	No Comments	No Info

Indicator Name	Results Dec-2017	Last Quarters Results Sep-17	Last Years Results Dec-16	RAG	Comments	Actions
CS02b - Percentage stage 2 complaints resolved in 15 days for the Council	100% 1 / 1 Target: 80	100% 2 / 2 Target: 80	85.71% 18 / 21 Target: 80	 1 1 2	No Comments	No Info
FOI01 - Percentage FOI requests satisfied in 20 days	98.05% 151 / 154 Info Only		94.96% 132 / 139 Target: 100	0 2 0	No Comments	No Info
MS01 - Average number of training opportunities taken up per Member	100 Opportunities 0 / 0 Info Only				Updater Comments: Relatively slow period for training , which is expected to pick up as year progresses.	Implement the recommendations of the MDSG

Agenda Item 9



AGENDA ITEM:

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	
PART:	1
If Part II, reason:	

Title of report:	Performance and Risk report Quarter 3 2017/18 – Performance, People & Innovation
Contact:	Neil Harden, Portfolio Holder for Residents and Corporate Services Author/Responsible Officer: Robert Smyth, Assistant Director - Performance, People & Innovation
Purpose of report:	To provide the Committee with analysis of performance and risk management for the services and functions provided by the Performance, People & Innovation Division.
Recommendations	That the Committee notes the contents of the report and the performance of the division for Quarter 3 2017/18.
Corporate objectives:	The Performance, People & Innovation division supports the delivery of all corporate objectives, although there is a particular focus on 'modern and efficient council'. That is why it is important that it is able to meet its performance objectives and manage risk.
Implications:	<u>Financial</u> Poor performance could lead to increases in costs as well as reducing the value of our service offer.
'Value For Money Implications'	<u>Value for Money</u> The work of the division supports the achievement of value for money in the pursuit of the Council's objectives
Risk Implications	Risk Assessment reviewed February 2018.
Equalities Implications	There are no equalities implications arising from this report.

Health And Safety Implications	There are no health and safety implications arising from this report.
Consultees:	None
Background papers:	Attached: 1. Quarter 3 Operational Risk and Performance reports
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	<p>This is a regular report to the committee detailing the performance of the division over the last quarter.</p> <p>The review also considers operational risks and highlights any additional controls and assurances needed to address the issues raised.</p> <p>The focus of the service has recently changed and it now includes:</p> <ul style="list-style-type: none"> - Performance, innovation and project management - IT and digital services - HR and organisational development - Communications - Community partnerships and leisure - Customer services
Glossary of acronyms and any other abbreviations used in this report:	<ul style="list-style-type: none"> • IT – Information Technology team • FirstCare – The Council’s sickness management system • KPIs – Key performance indicators

Introduction

- 1.1 Performance reports are produced on a quarterly basis with information collated in the Council's new performance management system (Rocket).
- 1.2 The performance report for the division is attached and it examines progress in relation to three key themes:
 - 1.2.1 Customer Services
 - 1.2.2 Human Resources
 - 1.2.3 IT and Digital Services
- 1.3 Targets are included in those areas where it would act as a positive driver on performance behaviour.

Monitoring Performance

Summary

- 2.1 Overall performance in quarter 3 is positive. Of the eleven targetable indicators, seven were green and four were amber.

Detailed Analysis

Customer Services

- 2.2 Enquiry resolution rates within the Call Centre (98.69%) and the Contact Centre (98.48%) continues to be very high.
- 2.3 However, there has been a worsening of performance in wait time and the abandonment rate. This was caused by service pressures including an increased vacancy rate.
- 2.4 This has now been addressed and the Council is in the process of introducing new system tools, which will support improved management of demand. This includes the option for call back and an email management module. The Council is also undertaking a wholesale service review, with the aim of developing a new vision and model for the management of the CSU.

HR

- 2.5 Total sickness absence has reduced compared to the previous quarter, however it is higher than 2016. There has been a worsening in short-term sickness, long-term absence is the primary cause and analysis shows that 1.5% of staff are generating over 25% of all sickness absence.
- 2.6 The Council has robust procedures in place and will shortly be starting another phase of the sickness project, which will interrogate group sickness absence and ensure we work with managers have high levels of absentees.
- 2.7 Staff turnover is at 14%, which is comparable to the broader business average of 15%.

IT and Digital Services

2.8 The percentage of incidents resolved in less than two days (91.29%) was above target, which reflects the good work of the Service Desk. Systems availability (99.96%) was also positive which reflects the work undertaken to improve resilience.

2.9 In Q3, we have seen 267,707 sessions with 131,741 unique users.

Risk Management

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

2.10 We have continued to make progress in delivering our Digital Dacorum programme.

PP_R012 Failure to deliver an effective approach to the management of performance, projects and complaints

2.11 We operate a robust project and performance management system and approach.

PP_R014 Failure to achieve the service outcomes outlined in each of the new community and Leisure contracts (reworded risk)

2.12 The community contracts are continuing to perform effectively. The leisure commissioning process has now complete and a contract has been awarded.

PP_R015 Failure to effectively and proactively manage the media profile of DBC including social media

2.13 In Q3, we posted over 1,650 outbound messages across our 18 social media accounts, received 600 direct messages and had a total twitter reach of 4.68 million viewers.

PP_R016 Failure to effectively and proactively manage all aspects of employee relations

2.14 We continued to provide dedicated support and coaching for all managers engaged in employee relation issues. Staff turnover rates (as measured in Q3) remains low at 14%.

PP_R017 Failure to support the organisation, and in particular the leadership team, to manage organisational change and staff development including the move to the Forum

2.15 In the last quarter the Improvement and Innovation team have provided internal 'change consultancy' to help services including cemeteries and community centres.

PP_R018 Failure to understand and respond to the current and future technology needs of the Council

2.16 Work is underway to prepare for the replacement of existing PCs and roll out will begin in February.

PP_R04 Failures in ICT resilience or security leading to significant system downtime

2.17 In Q3, overall systems availability was 99.96%. The Council deploys a wide range of security controls and work is progressing on delivery of resilient lines on the BT network to the Council's data centre.

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Performance and Projects - Robert Smyth

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: Neil Harden	Tolerance: Treating
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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
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<p>86% of adults use the internet regularly and people expect services that reflect their 24/7 online lives.</p> <p>Digital services also provide an opportunity to use new technology to reduce costs while maintaining or improving service quality.</p> <p>However if we don't deliver our digital vision (Digital 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</p>	<p>We initially created a detailed Digital Dacorum programme and plan to help develop our digital aspirations.</p> <p>This has now been delivered and we are moving onto the next phase which will be delivered through our Technology and Digital Transformation Strategy and our Transforming the way we work strategy.</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>	<ul style="list-style-type: none"> - Specialist digital staff are in place - ICT and Digital Transformation Strategy and Transforming the way we work Strategy - New website has gone live - New content management and governance process has been introduced - Schedule for re-design of services.
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OPERATIONAL RISK REGISTER

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cannot access services at a time and in a way that is best for them.

Sign Off and Comments

Sign Off Complete

We have continued to make progress on the delivery of our Digital Dacorum programme. We have also continued to reduce postage costs and have been working on address cleansing to ensure we get the best possible discount for clean mail. We have also continued worked on pilots for E-benefits Decision Notices and E-Landlord Schedules.

PP R012 Failure to deliver an effective approach to the management of performance, projects and complaints

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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	
<p>The ability to manage performance, projects and complaints is vital if we are going to successfully deliver the Council's objectives and priorities.</p> <p>Effective project and performance management ensures that we can deliver what's expected on time and under budget. It also enables us to maximise value for money.</p> <p>However poor project and performance management leads to cost overruns, delays and a failure to achieve outcomes. It also causes opportunity costs and can leads to expensive or ineffective remedial work.</p>		<p>We have recently launched Managing Projects Successfully, our new approach to project management. This provides detailed step-by-step guidance on how to develop, define, manage and evaluate a project.</p> <p>We have a well established performance management system (Corvu) underpinned by a detailed performance framework.</p> <p>We have a team of performance and project management specialists and on a monthly basis we produce programme and performance monitoring</p>		<p>- We monitor performance, projects and complaints on a monthly, quarterly and annual basis</p> <p>- We have a dedicated performance and project management system (Rocket and PMO online)</p> <p>- We have a project management framework (managing projects successf</p>	

OPERATIONAL RISK REGISTER

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Failure to manage complaints can lead to poor service, dissatisfaction and an inability to learn from mistakes and issues.	reports which are scrutinised at a Member led Performance Board and Group. We have a robust complaints policy and a specialist complaints management system.	
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Sign Off and Comments

Sign Off Complete

We operate a robust and effective performance and project management process. The majority of projects are being delivered on time and in target and using the Council's dedicated project management office system. The Improvement and Innovation Team have continued to provide internal consultancy helping to support service re-design including in cemeteries, wellbeing and community centre websites. 8 staff members will also be trained in Agile PM techniques using a free private beta test for a new Government Agile qualification.

PP17 R014 Failure to achieve the service outcomes for the community and Leisure Contracts

Category: Organisational/Management	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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 community contracts provide vital support services for some of the most vulnerable residents in Dacorum. The contracts are: - Information, Advice and Advocacy - Supporting the Voluntary Sector - Reducing Social Isolation		We have introduced a number of controls which manage the risk of not achieving the service outcomes: We have and are undertaking a comprehensive and robust commissioning process, which ensures that we select providers that can deliver on our objectives.		- Commissioning Tender Returns - Contracts and Agreements - KPI Monitoring Reports/Surveys etc.	

OPERATIONAL RISK REGISTER

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<p>- Living Stable Lives - Promoting Healthy Relationships</p> <p>The forthcoming leisure contract will ensure that our leisure facilities are managed in the most effective way possible.</p> <p>However if we don't achieve the outcomes from each contract, the community will receive inadequate services which can have serious consequences.</p> <p>Failure to deliver would also adversely affect the capacity of the local VCS and the community and local sports clubs.</p> <p>There would also be negative implications for the reputation of the Council and for the services involved.</p>	<p>We will agree KPIs with each contract.</p> <p>We will conduct regular contractual performance meetings and we have a well established process for dealing with any issues.</p> <p>All the contracts will be managed by senior officers with oversight from the Group Manager and Assistant Director.</p> <p>We have also commissioned audits of our processes by Mazars.</p> <p>We have commissioned specialist advice from legal and leisure consultants.</p>	
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Sign Off and Comments

Sign Off Complete

Community Contracts:

The community contracts are continuing to perform effectively. Regular meetings are held with each of the service providers and we are reviewing contract performance data to set targets. An internal audit of the process has identified no major issues (Full, Substantial).

Leisure

The commissioning process has been completed and a decision to award has been made. We are continuing to work closely with clubs and users on the development of a new sports and physical activity strategy. Discussions are ongoing with Tring and Longdean school regarding the Tring refurbishment and the new athletics track.

PP_R015 Failure to effectively and proactively manage the media profile of DBC including social media

OPERATIONAL RISK REGISTER

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Category: Service Delivery	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<p>The media profile of the organisation is a major issue.</p> <p>If our media profile is not professionally managed, it could lead to reputational risk for the council. This includes reputational risk/damage to members and council staff, and questions being asked about service delivery (as a council) and value for money.</p> <p>A positive media profile also offers a real opportunity to attract new investment and resources.</p> <p>The risks from social media occur either because we aren't using the tool to engage residents restricting our contact with key demographics, or because our reputation has been damaged due to inappropriate or negative use or postings.</p>		<p>We have a number of controls in place to mitigate these risks:</p> <p>For press and media coverage we use a press management system called Vuelio. This enables us to plan for both proactive and reactive issues and maintain control of all outbound and inbound media activities.</p> <p>We have developed good working relationships with the local press and media and continue to involve them in our important activities. Similarly the press are in regular contact with the communications team for comments or further information regarding campaigns and activities.</p> <p>For social media we use Crowd Control (CCHQ) which is the UK's leading risk management software for managing all social media accounts across the council. CCHQ is a web-based risk management platform that enables us to efficiently control access to our social pages, keeping them safe and secure.</p>		<p>- We have a dedicated and experienced communications team with expertise across all forms of media.</p> <p>- The majority of press coverage has been positive with a large emphasis on the Hemel Evolution programme and the various zones that have been complete</p>	

OPERATIONAL RISK REGISTER

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We also require all staff to read, understand and sign a number of policies relating to the use of social media and ICT.

Sign Off and Comments

Sign Off Complete

We continue to operate a proactive and engaged social media programme, which is managed by a Communications Team with significant social media experience.

In Q3 we posted over 1,650 outbound messages across our 15 social media accounts, received over 600 direct messages which were responded to in accordance with our social media policy and guidance, and had a total potential twitter reach of 4.68 million viewers across our social media networks. The success of our social media work is reflected in the local government ranking which regularly places Dacorum Borough Council as one of the highest ranked (of the 10 borough councils in Hertfordshire).

In January, we will also undergo an internal audit of our social media process as part of the internal audit programme (Mazars).

PP_R016 Failure to effectively and proactively manage all aspects of employee relations

Category: Service Delivery	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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	
Having highly motivated and productive staff is central to everything we do. Failure to effectively manage all aspects of employee relations can have a number of implications. A less motivated and productive workforce will lead to		We have a number of controls in place to mitigate these risks: We have robust employment policies that are reviewed regularly to ensure they are in line with good practice and the latest employment legislation.		- Very few employment appeals to Members. - Staff turnover is low.	

OPERATIONAL RISK REGISTER

December 2017



issues of poor service and performance. It can also cause high levels of sickness and dissatisfaction.

It could also result in appeals and employment tribunal cases and staff turnover will increase causing additional disruption and cost.

We have regular employee relation meetings with trade unions and we consult with them on changes to any relevant policies and procedures.

We provide training for managers on employment policies and all managers leading employee relation cases are supported by a qualified HR professional.

We also undertake staff surveys and have recently set up a project to understand and respond to the findings of the most recent survey.

Sign Off and Comments

Sign Off Complete

The HR team provides dedicated support and coaching for all managers when dealing with employee relation cases.

We ensure that our employment policies and procedures are robust and reflect good practice and the latest developments in Employment Law.

Staff turnover remains at a comparatively low level (14%) (based on Q3 figures). The new People Strategy has been implemented and a number of critical projects have or are in the process of being implemented. This includes a new approach to corporate training, recruitment & selection and staff recognition.

PP_R017 Failure to support the organisation, and in particular the leadership team, to manage organisational change and staff development including the move to the Forum

Category: Service Delivery	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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

December 2017



Consequences	Current Controls	Assurance
<p>Managing and adapting to change is key if we are going to deliver the Council's vision.</p> <p>That's why we need to develop and foster a workforce that is flexible, responsive and able to manage organisation change.</p> <p>The consequences of this risk include dis-engaged staff, service delivery issues and low productivity.</p> <p>We could also experience high levels of turnover and a likelihood that key staff would relocate to other organisations.</p> <p>Staff not understanding the new culture within the forum could also cause productivity issues and relationship problems.</p>	<p>We have introduced a number of controls which manage the risk:</p> <p>Our Corporate training programme (featuring mandatory training courses) ensures that staff have the right skills.</p> <p>We have created a Forum Cultural Board to ensure we have the right tools and culture to work in a modern and efficient way.</p> <p>The Managing in Dacorum Programme – identifies and develops key management skills in our Leaders.</p> <p>The Organisational transformation group provides strategic advice and support.</p> <p>We are currently developing a people strategy to ensure staff have the skills, values and experience.</p> <p>Our Service Efficiency Programme (overseen by the Chief Operating Group) will also help to develop the change attitude within the organisation.</p>	<p>- 87% of staff are willing to work with change (staff survey)</p> <p>- Regular staff forum briefings with a bespoke information section on the intranet</p> <p>- Good attendance in the managing in Dacorum Programme</p> <p>- Services are well received from the public</p>
Sign Off and Comments		
Sign Off Complete		

OPERATIONAL RISK REGISTER

December 2017



We have continued to undertake activities and projects to support organisational change and build up a culture of innovation. This includes a new approach to staff communications, the recognition scheme and wellbeing programmes. We have been implementing the new transformation strategy and have begun work on several projects including IT training development, Digital Audits and automation of performance measures to assist in service planning and contract maintenance.

PP_R018 Failure to understand and respond to the current and future technology needs of the Council

Category: Technical/Operational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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	
<p>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.</p> <p>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.</p> <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>		<p>We have put in place the necessary structure, strategy, plans, budgets and vision to ensure we respond to the current and future needs of the business.</p> <p>The service is based around four core elements:</p> <ul style="list-style-type: none"> - the service desk - infrastructure - special projects - business applications <p>In terms of controls we have 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</p>		<ul style="list-style-type: none"> - Regular dialogue between ICT and other services. - Technology is discussed regularly at Leadership Team meetings - ICT Strategy and Service Plan. - TOR for joint Customer Insight working group. - Digital Dacorum Strategy 	

OPERATIONAL RISK REGISTER

December 2017



Page 24	DBC.	
	Having a technical project Manager in place has also ensured that further improvements are made.	
	Each service has an in-team specialist business applications resource and there is a central applications lead to coordinate work.	
	All staff are provided with the necessary hardware including the roll out of laptops as part of the Dacorum Anywhere programme.	
	We have regular conversations with other council services and we take a category management approach to procurement.	

Sign Off and Comments

Sign Off Complete

We are continuing to implement the Council’s new Technology & Digital Transformation Strategy. The tender process has closed and roll-out will begin in February. The new Applications Roadmap is being launched and we are continuing work to upgrade our elections system (Strand), Finance System (Agresso) and Planning System (Accolaid). We are also planning to explore future technology concepts including software as a service and infrastructure as a service. A new application specialist for Civa Flare has been recruited as part of the centralisation of application support in addition to a developer to assist the Web Team lead the implementation of a new CRM system.

PP_R04 Failures in ICT resilience or security leading to significant system downtime

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact
		Residual Risk Score		

OPERATIONAL RISK REGISTER

December 2017



3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
<p>ICT is central to the performance of departments.</p> <p>A failure in ICT resilience or security would see loss of access to some or potentially all ICT applications and services.</p> <p>This would have serious consequences for productivity, communication links with the public and would have a major impact on public facing services.</p> <p>It could also lead to reputational damage or concerns about our capacity.</p>		<p>We have introduced a number of controls which manage the risk:</p> <p>Technical Controls -</p> <p>The Council has a secondary data centre in Aylesbury which can be put into action in the event of a serious failure of the primary data centre.</p> <p>Our Wide Area Network design provides resilient connectivity (diverse routing) so that if the direct connection from the Civic Centre to the primary data centre (Amersham) is severed, traffic will be re-routed to run via the secondary data centre (Aylesbury).</p> <p>Servers exist in a virtual environment and are hosted across multiple physical machines, meaning there is less dependence on individual components.</p> <p>Data is replicated across the two data centres and is also backed up so that it can be called back and restored if required.</p> <p>Process controls -</p> <p>Data back-ups are stored off site at Cupid Green.</p>		<p>Assurance</p> <ul style="list-style-type: none"> - KPI's - ICT01 - % of incidents resolved in less than 2 days. ICT02 - Availability of primary systems. WEB01 - Website availability - High Level Recovery Plan available on request - Successful tests of DR procedure – assuring that services can be restored within the secondary data centre using replicated data. - PSN Compliance. 	

OPERATIONAL RISK REGISTER

December 2017



Security -

We have a number of security processes in place, all of which is underpinned (and assured) by our PSN compliance.

These include corporate firewalls, anti-virus software on end point devices, end point security solutions to block unknown devices, encrypted hard drives, managed permissions and a two factor authentication process (name and crypto card).

Sign Off and Comments

Sign Off Complete


We continue to operate a robust and effective approach to resilience. Overall systems availability in Q3 was 99.96% and we have received our annual PSN compliance, which provides assurance about our security. We have a wide range of controls in place including anti-virus software, corporate firewalls and various authentication processes. We are also going to begin the refresh of our desktop provision in February and our data centre in May. Work is continuing with BT on delivery of resilient lines to the network. We have also begun implementation of actions to improve the technology skills and confidence of staff following a detailed review.

OSC Report - Finance & Resources Department - Performance and Projects

Sep-2017

Indicator Name	Results Sep-2017	Last Quarters Results Jun-17	Last Years Results Sep-16	RAG	Comments	Actions
Dacorum Delivers - Performance excellence						
HR02a - Turnover of staff	11 % Info Only	8 % Info Only	No Data Info Only		No Comments	No Info
CSU02 - Percentage of enquiries that are resolved at first point of contact within the Customer Service Centre	98.36% 15754 / 16016 Target: 90	99.11% 16096 / 16240 Target: 90	98.37% 13183 / 13401 Target: 90	0 0 4	Updater Comments: A positive result	No Info
CSU05 - Percentage of enquiries that are resolved at first point of contact within the Contact Centre	98.1% 28921 / 29482 Target: 90	96.56% 29231 / 30271 Target: 90	97.69% 33216 / 34001 Target: 90	0 0 4	No Comments	No Info
ICT01 - Percentage of incidents resolved in less than 2 days	91.34% 2195 / 2403 Target: 90	92.06% 2121 / 2304 Target: 90	90.65% 950 / 1048 Target: 90	0 2 2	Approver Comments: Good performance across the quarter	No Info
ICT02 - Availability of primary systems (office hours)	100% Target: 99	99.9% Target: 99	100% Target: 99	0 0 4	Approver Comments: Excellent availability	No Info

Indicator Name	Results Sep-2017	Last Quarters Results Jun-17	Last Years Results Sep-16	RAG 	Comments	Actions
HR03 - Total days lost through sickness absence	1783 Days Info Only	1233.75 Days Info Only	1464.25 Days Info Only		<p>Updater Comments: Higher than last quarter and last year</p> <p>Approver Comments: The sickness scrutiny group continues to assess all sickness each month and ensures that the Council is applying the policy robustly and consistently. We will be commencing a piece of work on investigating the reasons for absence and drilling down into group sickness absence in an attempt to see whether we can introduce some proactive measures to avoid people going off sick in the first place.</p>	No Info
HR04a - Total days lost through SHORT TERM sickness absence	524.5 Days Info Only	293.75 Days Info Only	408.25 Days Info Only		<p>Updater Comments: Higher than last quarter and last year</p>	No Info
HR04b - Total days lost through LONG TERM sickness absence	1258.5 Days Info Only	940 Days Info Only	1056 Days Info Only		<p>Updater Comments: Higher than last quarter and last year</p> <p>Approver Comments: The sickness scrutiny group continues to assess all sickness each month and ensures that the Council is applying the policy robustly and consistently. The long term sickness absence is a concern for the Council and we are working with managers to see how we can increase the speed people return back to work, such as OH support, Physio, regular contact etc.</p>	No Info

Indicator Name	Results Sep-2017	Last Quarters Results Jun-17	Last Years Results Sep-16	RAG 	Comments	Actions
HR05 - Average days lost due to sickness absence per FTE - profiled target	0.91 Days 1783 / 1966 Target: 0.76	0.63 Days 1233.75 / 1943 Target: 0.54	0.75 Days 1464.25 / 1964 Target: 2	0 3 1	<p>Updater Comments: The sickness scrutiny group continues to assess all sickness each month and ensures that the Council is applying the policy robustly and consistently. The long term sickness absence is a concern for the Council and we are working with managers to see how we can increase the speed people return back to work, such as OH support, Physio, regular contact etc.</p> <p>No Comments</p>	No Info
CSU13 - Face to Face: Waiting time more than 20 minutes	5.86% 939 / 16016 Target: 5	3.42% 555 / 16240 Target: 5	4.74% 635 / 13401 Target: 5	0 2 2	<p>Updater Comments: We are in the process of appointing to the vacancies. We are also working with services and IT to ensure that when there is a software change our staff are provided with some training on the changes.</p> <p>No Comments</p>	No Info
CSU10 - Call Handling: Average wait time	279.67 Second(s) Target: 210	184.67 Second(s) Target: 210	174.67 Second(s) Target: 210	0 1 3	<p>Updater Comments: We are in the process of appointing to the vacancies. We are also working with services and IT to ensure that when there is a software change our staff are provided with some training on the changes.</p> <p>No Comments</p>	No Info

Indicator Name	Results Sep-2017	Last Quarters Results Jun-17	Last Years Results Sep-16	RAG	Comments	Actions
CSU11 - Call Handling: Abandoned Call Rate	25.59% 10262 / 40105 Target: 20	20.85% 7975 / 38246 Target: 20	16.6% 6768 / 40769 Target: 20	0 3 1	Updater Comments: We are in the process of appointing to the vacancies. We are also working with services and IT to ensure that when there is a software change our staff are provided with some training on the changes. No Comments	No Info
CSU12 - Face to Face; Average Wait Time	245S Second(s) Target: 450	198.67S Second(s) Target: 450	271S Second(s) Target: 450	0 0 4	Updater Comments: A positive result	No Info
ICT06 - Total number of incidents and service requests reported (ICT)	3714 Info Only	3558 Info Only	2245 Info Only		Approver Comments: Broadly in line with previous quarters	No Info
Dacorum Delivers - Reputation and profile delivery						
WEB03 - Number of Website Users	128218 Info Only	132907 Info Only	No Data Info Only		Updater Comments: In Q2 we have seen 253,956 sessions from 128,218 unique users on our website	No Info
CSU03 - Percentage of customers satisfied with service received from the Customer Service Centre	100% 442 / 442 Target: 80	100% 696 / 696 Target: 80	99.78% 1849 / 1853 Target: 80	0 0 4	No Comments	No Info
CSU06 - Percentage of customers satisfied with service received from the Contact Centre	99.48% 959 / 964 Target: 80	99.47% 1126 / 1132 Target: 80	98.87% 1834 / 1855 Target: 80	0 0 4	Updater Comments: A positive result	No Info

Clerk: Sarah Turner

Finance and Resources Overview & Scrutiny Committee: Work Programme 2018/19

Scrutiny making a positive difference: Member led and independent, Overview & Scrutiny Committee promote service improvements, influence policy development & hold Executive to account for the benefit of the Community of Dacorum.

Meeting Date	Report Deadline	Items	Contact Details	Background information
June 2018	May 2018	Action Points (from previous meeting)	Chairman	
		Quarter 4 Performance Reports (& Quarter 4 Operational Risk Reports)		
		Budget Monitoring Report	Fiona Jump, Group Manager, Financial Services	
		Legal Governance & Democratic Services	M Brookes, Solicitor to the Council	
		Performance, People & Innovation	R Smyth, Assistant Director, Performance, People & Innovation	
		Finance & Resources	Fiona Jump, Group Manager, Financial Services	
		Sickness Review	Rob Smyth	Come from CMT
July 2018	June 2018	Action Points (from previous meeting)	Chairman	
		Financial Outcomes of Contract Management of Voluntary Sector	Rob Smyth	Come from CMT
Sept 2018	August 2018	Action Points (from previous meeting)	Chairman	
		Quarter 1 Performance Reports (& Quarter 1 Operational Risk Reports)		
		Budget Monitoring Report	Fiona Jump, Group Manager, Financial Services	
		Legal Governance & Democratic Services	M Brookes, Solicitor to the Council	

		Performance, People & Innovation	R Smyth, Assistant Director, Performance, People & Innovation	
		Finance & Resources	Fiona Jump, Group Manager, Financial Services	
October 2018	September 2018	Action Points (from previous meeting)	Chairman	
November 2018	October 2018	Action Points (from previous meeting)	Chairman	
		Quarter 2 Performance Reports (& Quarter 2 Operational Risk Reports) Budget Monitoring Report	Fiona Jump, Group Manager, Financial Services	
		Legal Governance & Democratic Services	M Brookes, Solicitor to the Council	
		Performance, People & Innovation	R Smyth, Assistant Director, Performance, People & Innovation	
		Finance & Resources	Fiona Jump, Group Manager, Financial Services	
Joint Budget December 2018	November 2018	**** Joint Budget **** **** 2019-2020 **** ***** Ideally no further items to be added	J Deane, Director (Finance & Resources)	
January 2019	December 2018	Action Points (from previous meeting)	Chairman	
Joint Budget February 2019	January 2019	**** Joint Budget **** **** 2019-2020 **** *****	J Deane, Director (Finance & Resources)	

		<i>Ideally no further items to be added</i>		
March 2019	February 2019	Action Points (from previous meeting)		
		Quarter 3 Performance Reports (& Quarter 3 Operational Risk Reports) Budget Monitoring Report	Fiona Jump, Group Manager, Financial Services	
		Legal Governance & Democratic Services	M Brookes, Solicitor to the Council	
		Performance, People & Innovation	R Smyth, Assistant Director, Performance, People & Innovation	
		Finance & Resources	Fiona Jump, Group Manager, Financial Services	

Items to be scheduled: