

OPERATIONAL RISK REGISTER

March 2017



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	
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>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 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.</p> <ul style="list-style-type: none"> - Project 1: website re-design - 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>		<ul style="list-style-type: none"> - Specialist digital staff are in place (web team and channel shift advisor) - Digital Dacorum Strategy and Implementation Plan has been published - New website has gone live - New content management and governance process has been introduced - Schedule for re-design and development has been agreed - New online payment portal has gone live 	

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

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.

Progress so Far

- A Digital Dacorum Strategy and Implementation Plan has been launched
- Our new website has gone live
(Project 1)
- We improved the content on our website and reduced the number of pages
(Project 2)
- An online solution has been introduced for benefits, green waste charging, allotments, reports of homelessness, planning payments, pre planning application advice, taxi complaints and the Dacorum Card.
(Project 3&4)
- An LGA funded research project to develop options for channel shift has been completed (Project 6)
- A detailed action plan has been developed for supporting digital inclusion with pilots completed in the supported housing team (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)
- Proposals are in place for developing a new CRM

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solution (Project 10)
Sign Off and Comments
<p>Sign Off Complete</p> <p>Over this last quarter we have completed the existing Digital Dacorum programme plan. We have also begun the process of mapping out the delivered benefits. From 2014/15 we have improved the quality of web content, reducing pages and improving bounce rate (which is a measure of whether you have the right information). In Q4 we have seen 235,816 sessions from 123,254 unique users. 79% of payments have come from non-automated means and 81% of the total income has come in this way. There were 978 DD signups electronically. Printing is down by over 34% and more processes are undertaken in a digital way. In order to keep up this progress we have begun a strategy to map out the next 3 years to 2020, including a roadmap of digital development and channel shift aspirations.</p>

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</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</p>		<ul style="list-style-type: none"> - We monitor performance, projects and complaints on a monthly, quarterly and annual basis - We have a dedicated performance and project management system (Rocket and PMO online) - We have a project management framework (managing projects successfully) - We have a detailed complaints policy, procedure and system 	

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to expensive or ineffective remedial work.	produce programme and performance monitoring reports which are scrutinised at a Member led Performance Board and Group.	
Failure to manage complaints can lead to poor service, dissatisfaction and an inability to learn from mistakes and issues.	We have a robust complaints policy and a specialist complaints management system.	

Sign Off and Comments

Sign Off Complete

We continue to deliver a robust and effective approach to performance, projects and complaints. The majority of projects are being delivered on time and 70% of indicators are in target. The Improvement and Innovation Team have provided over 40 days of internal consultancy helping to support service re-design and innovation. We have rolled-out a new performance reporting system and have made further improvements to project reporting with the aim to allow greater scrutiny. The new complaints policy has also been implemented which will allow a quicker resolution and minimise vexatious complaints.

PP_R014 Failure to achieve the service outcomes outlined in each of the new community 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		We have introduced a number of controls which manage the risk of not achieving the service outcomes: We have undertaken a comprehensive and robust commissioning process, which ensures that we select providers that can deliver on our objectives.	- Commissioning Tender Returns - Individual Contracts and Agreements - KPI Monitoring Reports		

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<ul style="list-style-type: none"> - Supporting the Voluntary Sector - Reducing Social Isolation - Living Stable Lives - Promoting Healthy Relationships <p>However if we don't achieve the outcomes from each contract, the community will receive inadequate services which can have serious consequence and lead to higher demand for reactive Council services e.g. homelessness, ASB.</p> <p>Failure to deliver would also adversely affect the capacity of the local VCS, with implications for the broader support base.</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 and these will be reported to the CEO and Portfolio Holder.</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 an audit of our process by Mazars.</p>	
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Sign Off and Comments

Sign Off Complete

All contracts have completed the procurement process and are live. We have held a number contract meetings with each of the service providers. These meetings enable us to monitor performance as well as to build relationships. We have held two breakfast networking meeting which aims to enable the providers to work closely together to meet their contract outcomes and provide the best possible holistic service to Dacorum residents. The commissioning process has worked well but we are continuing to review our approach with the aim of learning lessons and improving the way we work with the voluntary and community sector. Whil we haven't yet received a final report, the verbal feedback from our internal audit on the implementation process is positive.

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

Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:
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Service Delivery		Dacorum Delivers		Robert Smyth	Neil Harden	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 also require all staff to read, understand and sign a number of policies relating to the use of social media</p>		<ul style="list-style-type: none"> - We have a dedicated and experienced communications team with expertise across all forms of media. - The majority of press coverage has been positive with a large emphasis on the Hemel Evolution programme and the various zones that have been completed. - Due to our relationship with the press, we are regularly contacted for a statement or comment on the article being published. - With social media, the risk management software allows us to setup word libraries that will automatically delete posts (using specific words) from the respective social media channels. - We have a communications strategy and a social media strategy. We also have a detailed service plan for communications. 		

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	and ICT.	
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Sign Off and Comments

Sign Off Complete

We continue to operate a proactive and engaged social media programme. In Q4 we posted over 1,382 outbound messages across our 18 social media accounts, received over 307 direct messages which were responded to in accordance with our social media policy and guidance, and had a total twitter reach of 4.18 million viewers across our social media networks. Some of the campaigns we have run include additional garden waste bins, recycling, elections and The Forum launch campaign. The success of our social media work is reflected in the local government ranking (source: net natives) which regularly places Dacorum Borough Council as one of the highest ranked (of the 10 borough councils in Hertfordshire).

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.		We have a number of controls in place to mitigate these risks:		- No Employment Tribunals over the last two years and very few employment appeals to Members.	
Failure to effectively manage all aspects of employee relations can have a number of implications.		We have robust employment policies that are reviewed regularly to ensure they are in line with good practice and the latest employment legislation.		- Staff turnover is low. Across 2015/16 the Council had a voluntary annual turnover rate of 10.6% (76 staff). This compares positively to the public sector average (18%) and it is below the level within local government (11.9%). It is also lower than average for district councils	
A less motivated and productive workforce will lead to issues of poor service and performance. It can also cause		We have regular employee relation meetings with trade			

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<p>high levels of sickness and dissatisfaction.</p> <p>It could also result in appeals and employment tribunal cases and staff turnover will increase causing additional disruption and cost.</p>	<p>unions and we consult with them on changes to any relevant policies and procedures.</p> <p>We provide training for managers on employment policies and all managers leading employee relation cases are supported by a qualified HR professional.</p> <p>We also undertake staff surveys and have recently set up a project to understand and respond to the findings of the most recent survey.</p>	<p>(11%).</p> <p>- Services are well received from the public. According to the Herts Tracker Survey 72% of our residents are satisfied with our services, which is the second best in Hertfordshire.</p>
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Sign Off and Comments

Sign Off Complete

The HR team continues to provide dedicated support and coaching for all managers engaged in employee relation issues. We also enjoy good relations with our recognised Trade Unions (Unison and Unite) and we ensure that our employment policies and procedures are robust and reflect good practice and the latest developments in Employment Law. Staff turnover remains low.

The new People Strategy has been approved and work is underway on a number of critical projects including : 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
Consequences		Current Controls		Assurance	

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<p>Managing and adapting to change is key if we are going to deliver the Council's vision.</p>	<p>We have introduced a number of controls which manage the risk:</p>	<p>- 87% of staff are willing to work with change (staff survey)</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>Our Corporate training programme (featuring mandatory training courses) ensures that staff have the right skills.</p>	<p>- Regular staff forum briefings with a bespoke information section on the intranet</p>
<p>The consequences of this risk include dis-engaged staff, service delivery issues and low productivity.</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>- Good attendance in the managing in Dacorum Programme</p>
<p>We could also experience high levels of turnover and a likelihood that key staff would relocate to other organisations.</p>	<p>The Managing in Dacorum Programme – identifies and develops key management skills in our Leaders.</p>	<p>- Services are well received from the public. According to the Herts Tracker Survey 72% of our residents are satisfied with our services, which is the second best in Hertfordshire.</p>
<p>Staff not understanding the new culture within the forum could also cause productivity issues and relationship problems.</p>	<p>The Organisational transformation group provides strategic advice and support.</p> <p>We are currently developing a people strategy to ensure staff have to 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>	

Sign Off and Comments

Sign Off Complete

We have carried out a range of projects, activities and programmes to support organisational change to support the move to the forum. The Forum Cultural Board was central to ensuring that staff were able to move over to the new building with minimal disruption and the feedback has been extremely positive. Since then we have created a transformation strategy which will help develop the skills and behaviours required to work within the changing environment. This strategy will exist alongside the ICT digital strategy and the people strategy to ensure we have the right people with the right skills, working in an environment that is efficient and digitally minded.

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PP_R018 Failure to understand and respond to the current and future technology needs of the Council					
Category:	Corporate Priority:	Risk Owner:		Portfolio Holder:	Tolerance:
Technical/Operational	Dacorum Delivers	Robert Smyth		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	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 DBC.</p> <p>Having a technical project Manager in place has also ensured that further improvements are made.</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 	

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	<p>Each service has an in-team specialist business applications resource and there is a central applications lead to coordinate work.</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>We have regular conversations with other council services and we take a category management approach to procurement.</p>	
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Sign Off and Comments

Sign Off Complete

A comprehensive review of the Council’s application estate has been completed. Lessons learned from this review have been applied in the Council’s new Technology & Digital Transformation Strategy and will inform the development of a systems roadmap, currently in train. Work continues in the implementation of Skype for Business and Direct Access, a new remote working solution, which will provide videoconferencing functionality from desktops and meeting rooms in 2017. Plans to replace current PCs and to introduce suitable mobile devices for field officers are on track to start rolling out in the Autumn. Plans are also at an early stage to replace infrastructure within the Council’s data centres, ensuring a platform suitable for technology growth and development.

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

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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). NB: currently there is a common path to both connections between the Civic Centre and the nearest BT exchange.</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>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. 	

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Data back-ups are stored off site at Cupid Green.

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

Our approach to ICT resilience continues to be robust. In Q4 overall systems availability was 99.99% and web availability was 100%. Initial plans to deliver resilient lines to the Council's data centres on the BT network have been disrupted by BT issues outside of the Council's control. Throughout this time, however, we have continued to provide resilient connections by using circuits running via the Civic Centre as a back-up option. We were unaffected by the recent cyber security issues that disrupted other public and private sector organisations and are currently undergoing a cyber security audit to assure that we are meeting the Government's essential criteria. Work has begun in preparation for our PSN submission in October.