OPERATIONAL RISK REGISTER

September 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**	
86% of adults use the internet regulary 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 Dacorum) this will have major consequences. 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. Failure to deliver an effective approach to digital services will also result in reputational damage. The customer experience will also suffer as residents		We initially created a detailed Digital Dacorum programme and plan to help develop our digital aspirations. 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. 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.		- 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.	

OPERATIONAL RISK REGISTER

September 2017

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 development of our digital strategy. We launched new digital council tax enquiries form which has had 1199 new applications, reducing data entry costs and risks. We have also continued to reduce postage costs by 19% in Q2 2017 compared to Q2 2016. We have also been working on address cleansing to ensure we get the best possible discount for clean mail. Over this period, we have run a pilot for E-benefits Decision Notices and E-Landlord Schedules. This should further reduce postage.

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

Category:	**Corporate Priority:**		**Risk Owner:**	**Portfolio Holder:**	**Tolerance:**
Reputational	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
The ability to manage performance, projects and complaints is vital if we are going to successfully deliver the Council's objectives and priorities. 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. 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	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. We have a well established performance management system (Corvu) underpinned by a detailed performance framework. We have a team of performance and project management specialists and on a monthly basis we	- 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 successf

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

Sign Off and Comments

Sign Off Complete

We continue to deliver effective performance and project management. The majority of projects are being delivered on time and 85% of projects are in target (with a further 10% currently amber). The Improvement and Innovation Team have provided over 50 days of internal consultancy helping to support service re-design and innovation. The new performance reporting system and online project office have been successfully rolled out and we are seeing positive feedback from managers. The project management office is now being used across all directorates with a variety of projects. The new complaints policy and system has also been implemented and this is resulting in a streamlined approach.

PP_R014 Failure to achieve the service outcomes for the community and Leisure Contracts

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Organisational/Management	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
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 and are undertaking a comprehensive and robust commissioning process, which ensures that we	- Commissioning Tender Returns - Contracts and Agreements - KPI Monitoring Reports/Surveys etc.

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

Sign Off and Comments

Sign Off Complete

Community Contracts:
The community contracts are continuing to performance effectively. We hold regular meetings with each of the service providers and we are reviewing contract performance data.

Leisure
The leisure commissioning process has gone live and we will be evaluating bids in November. We are also working closely with clubs and users on the development of a new sports and physical activity strategy. As has been noted before, the procurment process has been independently audited by Mazars and they found this was undertaken in line with good practice and Council rules.

OPERATIONAL RISK REGISTER

September 2017

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

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
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
The media profile of the organisation is a major issue. 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. A positive media profile also offers a real opportunity to attract new investment and resources. 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.	We have a number of controls in place to mitigate these risks: 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. 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. 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	- 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 complete

	pages, keeping them safe and secure. 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

In Q2 we posted over 1,710 outbound messages across our 18 social media accounts, received over 663 direct messages which were responded to in accordance with our social media policy and guidance, and had a total potential twitter reach of 4.59 million viewers across our social media networks. We continue to operate a proactive and engaged social media programme, which is managed by a Communications Team with significant social media experience.

Some of the campaigns during this period include the announcement of the new splash park, launch of the renovated Water Gardens, Tour of Britain and Public Space Protection Order (PSPO) consultation. 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).

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

Category:	**Corporate Priority:**		**Risk Owner:**	**Portfolio Holder:**	**Tolerance:**
Service Delivery	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
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.	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	- No Employment Tribunals over the last two years and very few employment appeals to Members. - Staff turnover is low. Across 2015/16 the Council had a voluntary annual turnover rate of 10.6% (76 staff).

A less motivated and productive workforce will lead to 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.	and the latest employment legislation. 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.	This compares positively to the public sector a

Sign Off and Comments

Sign Off Complete

We ensure that our employment policies and procedures are robust and reflect good practice and the latest developments in Employment Law. The HR team provides dedicated support and coaching for all managers when dealing with employee relation cases. Staff turnover remains low at 11% (based on Q2 figures). The new People Strategy has been implemented and a number of critical projects are soon to be 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:	**Corporate Priority:**		**Risk Owner:**	**Portfolio Holder:**	**Tolerance:**
Service Delivery	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

OPERATIONAL RISK REGISTER

September 2017

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

OPERATIONAL RISK REGISTER

September 2017

We have continued to undertake activities and projects to support organisational change and build up a culture of innovation. For example, text messaging as our first stage of council tax reminders (run through Gov.Notify) and Electronic landlord notifications for their scheduled payments and their notifications. 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. We have also developed a series of projects to review and improve our approach to organisational development, coaching and leadership as well as to promote a challenge culture.

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**
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. 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. It will also make other agenda's like Digital Dacorum harder to implement.	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. The service is based around four core elements: - the service desk - infastructure - special projects - business applications In terms of controls we have a detailed ICT Strategy and Improvement Plan. We also have an established staffing compliment and	- 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

	budget which has been shaped around the ICT needs of 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 for the desktop refresh will close at the end of October with roll-out beginning in December. The new Applications Roadmap will shortly be 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 Civica Flare is being 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:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers	Robert Smyth	Neil Harden	Treating

OPERATIONAL RISK REGISTER

September 2017

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. A failure in ICT resilience or security would see loss of access to some or potentially all ICT applications and services. This would have serious consequences for productivity, communication links with the public and would have a major impact on public facing services. It could also lead to reputational damage or concerns about our capacity.	We have introduced a number of controls which manage the risk: Technical Controls - 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. 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. Servers exist in a virtual environment and are hosted across multiple physical machines, meaning there is less dependence on individual components. Data is replicated across the two data centres and is also backed up so that it can be called back and restored if required.	Assurance - 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.

	Process controls - 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 effective and robust. Overall systems availability in Q2 was 100% and we are continuing to work through our annual PSN compliance process. We have a wide range of security controls in place including anti-virus software, corporate firewalls and various authentication processes. We are also shortly going to begin a refresh of our desktop provision which will contain our new remote working solution followed in the new year by the renewal of data centre technology expected to be smaller, more robust and to consume less energy. Work is also progressing on delivery of resilient lines on the BT network to the Council's data centre. We have also presented a report to CMT on ways to improve the technology skills and confidence of staff.