OPERATIONAL RISK REGISTER

September 2015

Performance and Projects - Robert Smyth

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

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green

Consequences	Current Controls	Assurance
It's vital that we provide services which deliver outcomes for residents while maximising value for money. Creating an evidence based environment ensures that we direct resources to policies, programmes and approaches which are likely to have the most benefit. It also identifies those activities which might need to be stopped or changed. The programme also ensures that we learn lessons from other organisations as well as from the latest research and pilots. Crucially the use of data can help to identify what issues need to be addressed. However if we do not use evidence as the basis for	Our Approach Knowing What Works is a programme of activities which will create and promote a culture of using evidence to make decisions. The programme is based around 8 projects which come together to address the different elements of an evidence-led organisation - Project 1: Promoting our approach - Project 2: Focusing on outcomes - Project 3: How to evaluate services - Project 4: Promoting good practice - Project 5: Making best use of data - Project 6: Using behavioural insight - Project 7: How to re-design services - Project 8: Using data to make discoveries	- Established a programme of activity (Knowing What Works) to provide a clear vision and approach to adressing the risk - Produced and implemented strategy on behavioural insight - Implemented proposals to increase use of outcomes - Revised project guidance to increase use of evidence - Undertook research on waste services - Launched the Innovation Lab.

designing and delivering services it will lead to: - poor performance/outcomes - waste - duplication - opportunity costs	Each of these projects sets out a series of actions which have been or are being delivered over the next 12 months. These actions are supported by x2 Knowing What Works specialists. Progress so Far - A Knowing What Works strategy has been created and launched (Project 1) - A series of communications and meetings have been held to publicise the programme (Project 1) - The KPIs' for each team have been reviewed and recommendations have been made to increase the use of outcomes (Project 2) - A number of staff members are taking part in the Cabinet Office Commissioning Forum (Project 2) - The Love Your Neighbourhood Programme has demonstrated the use of holistic evaluation(Project 3) - The project management process has been changed to put a greater focus on post project evaluation and assessment (Project 3) - A nudge strategy has been published setting out how the organisation can use behavioural insight (Project 6) - A series of behavioural insight reviews have been undertaken with HR, Housing and Regulatory services and an action plan is being implemented to introduce the new ideas (Project 6) - DBC is part of a LGA funded pilot to use design theory	

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

Sign Off and Comments

Sign Off Complete

Good progress has been made in the implementation of key elements in our Knowing What Works programme. This includes nudge workshops and research into waste services. However, further work needs to be undertaken to promote the use of evaluation. In addition we need to maintain communications and to work with services to ensure they are considering the use of evidence.

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

Category:	**Corporate Priority:**		**Risk Owner:**	**Portfolio Holder:**	**Tolerance:**
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	**Inherent Impact**	**Inherent Risk Score**	**Residual Probability**	**Residual Impact**	**Residual Risk Score**
3 Likely	4 Severe	12 Red	2 Unlikely	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	Our Approach We have created a detailed Digital Dacorum programme and plan of 10 projects which will transform our digital approach and ensure that we deliver a modern, 24/7 experience. - Project 1: website re-design - Project 2: improving website content - Project 3 & 4: Re-designing services to make them digital ready and putting them online	Assurance - Digital Dacorum Strategy and Implementation Plan in place - Website re-design process underway - Content management process in place - Re-design and development of revenue benefits process

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

- 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

Each of these projects sets out a series of tasks and the programme runs for 24 months.

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 have been launched
- A designer has been commissioned and has begun work on our new website design (Project 1)
- Work has begun to improve the content on our website (Project 2)
- The online council tax portal has been implemented and is now being tested. Development of an online solution for benefits is making good progress. (Project 3&4)
- An LGA funded research project is underway to develop options for channel shift (Project 6)
- A detailed action plan has been developed for

- New online payment portal introduced

What Next

- Website re-design goes live (February 2016)

- New services are put online in housing, waste, legal, ASB and the environment (Sept 15 - Jan 17)

- Development of new digital inclusion measures (Sept 15 - Sept 16)

supporting digital inclusion (Project 7) - A new social media strategy has been developed and implemented (project 8) - Direct debits have been extended and a new payment portal has been introduced (Project 9)	

Sign Off and Comments

Sign Off Complete

The existing controls are sufficient for the risk level to remain the same. Progress is being made in the delivery of the Digital Dacorum programme. This includes the commissioning of designers for the new website and the development of new functionality for council tax and benefits. We have also introduced new measures to reduce exclusion and promote channel shift.

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

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber

Consequences	Current Controls	Assurance
The ability to manage projects is vital if we are going to successfully deliver the Council's objectives and priorities. Good project management ensures that we deliver on time and under budget. It also enables us to maximise value for money and ensure that projects achieve what they set out to do.	Our Approach 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. In addition we have a Corporate Project Management -	Assurance - 71% of strategic projects (28) are on target - New project management approach has been launched - Introduction of project clinics to address issues or concerns

Poor project management leads to cost overruns, delays and a failure to achieve outcomes. It also causes opportunity costs and it can lead to the requirement for resource intensive remedial work in the future.	Team Leader with responsibility for monitoring and improving the quality of project management. On a monthly basis we also produce programme monitoring reports which are scrutinised at a Member led Performance Board. Additional external expertise has also been procured for major contracts.	- recruitment of specialist corporate project manager What Next - Roll out of project management passport to ensure a high standard amongst all project managers (Sept)

Sign Off and Comments

Sign Off Complete

The introduction of new project management guidance coupled with the established monitoring schedule and the recruitment of a corporate project management specialist has helped manage the risk.

In the last quarter 77% of strategic projects were delivered on time.

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

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber

Consequences	Current Controls	Assurance
Managing performance is key to ensuring that we provide high quality and cost effective services. Good performance management requires a robust	Our Approach Our approach to performance management is robust, effective and based around 3 key themes:	Assurance - 76% of quarterly indicators in September were in target (i.e. Green) and 17% were over target but within

approach to measuring and monitoring key indicators. It also requires the focus, tools and support necessary to address poorly performing services.

Without an effective approach to performance we are likely to see high costs, poor service and a failure to achieve our objectives.

It also causes opportunity costs with resources being diverted away from other areas.

Monitoring

We have a well established performance management system (Corvu) which provides detailed reports on a monthly, quarterly and annual basis.

We have also created a new report to monitor productivity by focusing on the most important 25% of indicators.

Scrutiny

We run monthly performance clinics with teams to focus on areas of poor performance and to develop suggestions for improvement

We hold a monthly performance meeting with Members and the Corporate Management Team and Chief Operating Group also review performance

Target Setting

Each Group Manager and Assistant Director had to agree targets and these were subject to a 'critical friend' challenge to ensure they were as stretching as they could be.

the accepted tolerance (i.e. Amber).

- The overall trend is the same. While there are 2 more red indicators, the number of amber has reduced.

- 77% of the 'most important indicators' were on target.

- The Corvu system is established and in place.

- A specialist Corporate Performance Management - Lead Officer is in place.

Sign Off and Comments
Sign Off Complete

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Performance in the last quarter was positive.76% of quarterly indicators in September were in target (i.e. Green) and 17% were over target but within the accepted tolerance (i.e. Amber).

In addition the 'high priority' indicators, which are the most important, are also in target. On this basis it is considered that the current risk rating is suitable. However we are shortly going to have an audit report which will identify any areas for improvement as well as providing further assurance.

PP_R03 Services are not supported to deliver continuous improvement and innovation

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber

Consequences	Current Controls	Assurance
There are a wide range of challenges and pressures on DBC so it is important that services are able to do more with their resources. In order to deliver value for money we need to foster a culture of improvement and innovation. Without improvement and innovation we are likely to see worse performance, greater pressures and wasted resources. A lack of improvement and innovation also leads to disengagement from residents and staff. Innovation and improvement can come in the form of	Our Approach We have reprofiled the performance and projects team and created a new Corporate Improvement and Innovation Team which includes a Digital Innovation Officer and a Improvement and Innovation Officer. The role of the team is to stimulate innovation and improvement and this is done through a number of key ways: Knowing What Works The Knowing What Works programme (see earlier risk) stimulates innovation and new ideas as well as getting	Assurance - The Corporate Improvement and Innovation Team is in place. - DBC has recently been involved in three external innovation pilots. - A statutory notice pilot (funded by the DCLG) - A channel shift pilot (funded by the LGA) - A design theory pilot to improve ASB (funded by the LGA) - Launch of Innovation Lab/Think Tank

| new technology but it can also be inspired through lean processes and improved structures and models of delivery. | teams to make better use of analysis and data.

Innovation Labs

We have recently launched our 'innovation lab' which is a project to help teams re-design the way they provide services.

The labs run over a couple of days and they use a series of innovation techniques and exercises to help teams re-think about how they work and come up with innovative solutions.

External Research

We have recently been selected as candidates for a number of innovative pilots including LGA funded research into design theory.

We have also finalised a research plan.

Improvement Activities

We have undertaken a number of process reviews as part of Digital Dacorum and we are currently developing a tool kit to help other teams review their service.

The Better@Dacorum programme also allows people to ask questions and it raises awareness about different improvement agendas. | - Internal piloting of 'ideas box'.

- Undertaking research for environmental services. |

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Sign Off and Comments
Sign Off Complete
The inherent and residual risk rating remains the same. A focus on improvement and innovation is being fostered across the organisation. We have launched a number of major change and improvement programmes including Knowing What Works, Digital Dacorum and Dacorum Anywhere. We have also improved our approach to project management through our 'managing projects successfully' programme. These new ways of working have all been led and supported by the Corporate Improvement and Innovation Team.

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

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	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. | Our Approach

We have put in place the necessary structure, plans, budgets and vision to deliver a high quality IT service.

The service is based around four core elements:

- the service desk
- infastructure
- special projects
- business applications

In terms of controls we have introduced a robust | Assurance

KPI's

ICT01 - % of incidents resolved in less than 2 days - 92.38% (Target 90%)

ICT02 - Availability of primary systems - 100% (Target 99%)

WEB01 - Website availability - 99.9% (Target 99.9%)

- Full staffing complement. |

| It will also make other agenda's like Digital Dacorum harder to implement. | structure and a detailed ICT Strategy and Improvement Plan.

We also have an established staffing compliment and 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.

Our service desk is closely monitored and they are managed by a dedciated Team Leader covering infrastructure and service desk.

All staff are provided with the necessary hardware including the roll out of laptops as part of the Dacorum Anywhere programme. | - ICT Service Plan.

- TOR for joint Customer Insight working group.

- Digital Dacorum Strategy |

Sign Off and Comments

Sign Off Complete

The residual and inherent risk rating remains the same. The ICT service has continued to perform well in its KPI. In addition the department have taken steps to make improvements in a number of areas including SharePoint and a forthcoming project on the Firewall.

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

Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:

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Reputational	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Treating
Inherent Probability	**Inherent Impact**	**Inherent Risk Score**	**Residual Probability**	**Residual Impact**	**Residual Risk Score**
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences	**Current Controls**			**Assurance**	

Consequences	Current Controls	Assurance
The Performance and Projects Team and the Corporate Admin Team are key central resources which support the organisation in a number of areas including: - performance and project management - digital services - innovation and improvement - corporate support - postage, printing and scanning - delivery of electronic document management - complaints Without these functions it is likely that services would be more costly, ineffecient and would deliver worse outcomes. The ability of the organisation to improve and change would also be reduced and the move to a more digital way of working would be negatively impacted. It would also be necessary to contract other providers to undertake work, for instance scanning which would come with a cost.	Our Approach We have put in place the necessary structure, plans, budgets and vision to deliver cost effective services. In particular, the controls utilise well established finance and DBC wide controls (including service planning) as well as relying on day to day management. A number of improvement activities have also taken place including reprofiling the team to increase focus on corporate improvement and innovation. We also have a well suite of established performance indicators. In addition the team contains a number of qualified project managers which helps ensure that new tasks are delivered on time and in budget.	Assurance All performance indicators are in target (i.e. Green): - % Stage 1 complaints dealt with on time (92.11%) - % Stage 2 complaints dealt with on time (100%) - - % Stage 3 complaints dealt with on time (100%) - Services are being delivered on or just below budget - All live projects directly managed by the service are being delivered on time and in budget. - Service Plans for both Corporate Improvement and Innovation and Corporate Support are published.

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Sign Off and Comments
Sign Off Complete
Performance continues to be very good. All indicators are Green with the exception of new starters. However there has been a significant improvement in this area compared to the previous quarter. More broadly the teams are also focused on helping other services including through e-post, scanning and preparing for the Forum.

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

Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Financial	Dacorum Delivers		Robert Smyth	Cllr Neil Harden	Terminating

Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	3 Likely	3 High	9 Amber

Consequences	Current Controls	Assurance
The move to a 'paperless office' is a key conseuqence and driver for a more flexible and digital way of working. In 2014/15 DBC spent over £28k on internal printing and an estimated £10k on paper. Paper also attracts significant storage and disposal costs and this issue will intensify as we move over to the streamlined Forum. The use of paper also undermines efforts for digital effeciency and it reinforces old fashioned processes and approaches. Ultimately it sends out the wrong message and	Our Approach The roll out of Dacorum Anywhere (which includes provision of laptops, phones and the ability to work remotely using Citrix) has reduced the need to use paper as a flexible communication tool. Our Digital Dacorum programme is designed to reduce postage and printing over the next 2 years. This includes putting paper-based services online and reducing the amount of administration associated with processes. We have implemented electronic document management including e-post which significantly reduces the need for paper.	Assurance - Northgate has digitised over 2.2 million documents and our internal admin team has scanned thousands of documents. - In Q1 (2015/16) we printed 77k sheets of paper. - EDRMS is operational and staff are using e-post. - The Forum Cultural Project has been set up and this will identify ways to reduce paper usage. What Next

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undermines the cultural change that we are trying to deliver as part of Digital Dacorum.	We have also embarked on a major programme of back-scanning and archiving of paper records. We have a reprographics department in place to manage printing and we run regular reports and monitor costs to adress high instances of personal printing. We have also secured an ambitious commitment from CMT to reduce internal printing by January.	- Work with individual teams to reduce printing on a quarter by quarter basis (Ongoin)

Sign Off and Comments

Sign Off Complete

The inherent and residual risk rating remains the same. A number of controls and improvements have been put in place including the full roll-out of e-post. In addition we are bringing forward a new project to focus on reducing paper and postage across the organisation. This aligns with the work on Digital Dacorum and the preperation for the Forum as part of the Forum Cultural Programme.