

# OPERATIONAL RISK REGISTER

December 2015



## Chief Executive's Unit - Steve Baker

### CE\_F01 Lack of resources to be able to spend the appropriate time analysing the Councils 3rd party expenditure

Category: Financial	Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
The procurement service will remain reactive in its approach and will have limited ability to focus on those areas of procurement which account for the majority of the Council's 3rd party expenditure. It will also expose the Council to potential breaches of the Public Contracts Regulations due to the failure to aggregate the value of contracts for the same supplies or services. There will be an increased likelihood that the Council will incur expenditure that is not under contract. It will reduce the Council's ability to achieve savings through procurement.		- Spikes Cavell spend analysis undertaken - Realignment of the Service will increase resource capacity -Stradia procurement consultants have been appointed to provide additional support for the procurement of the Total Asset Mangement Contract, the afo		The commissioning of Stradia and V4 services has released a DBC officer to analyse third party expenditure. It has also enabled the third party expenditure to be 'pro-classed' in Agresso which will allow the spend to be analysed in real time. This has effectively removed the risk.	
Sign Off and Comments					
Sign Off Complete					

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## CE\_F02 Lack of resources to be able to design and implement a Category Management approach to the Councils 3rd party expenditure

Category: Financial	Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
The consequences are the same as for CE_F01 above.		- Realignment of Service will increase the resource capacity. - The appointment of Stradia procurement consultants to provide additional support for the major procurement contracts has increased the capacity of the in house team to deliver category mana		The use of V4 Services has enabled the Council to design and implement a category management approach.  Once the toolkit is introduced and used consistently category management will have become embedded within the Council.	
Sign Off and Comments					
Sign Off Complete					

## CE\_M02 Failure of Council staff and Members to understand and embrace localism

Category: Marketplace	Corporate Priority: Building Community Capacity		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	

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<p>There is a risk that the Council will fail in one of its key Corporate Plan objectives - Building Community Capacity and helping communities to thrive and prosper.</p>	<p>Building Community Capacity is one of the five priorities in the Council's Corporate Plan.</p> <p>Officer/Member training events on localism and the community rights.</p> <p>Setting up of Community and Localism Corporate Working Group. Guidance and processes on the community rights available to the public on the Council's website.</p> <p>Workshops held with Voluntary Service Organisations. Member Development session arranged with VSOs in September 2015.</p> <p>Twice yearly meetings between chief officers and Dacortium.</p> <p>Quarterly meetings of the Dacortium Sub-group at AD level.</p> <p>The setting up of the internal Health and Wellbeing Group as a sub-group of the Community and Localism Group.</p> <p>Co-operation and liaison between the Community Partnerships and Neighbourhood Action Teams.</p> <p>Love Your Neighbourhood events which bring together communities, VSOs, the Council and other local organisations.</p>	<p>The controls in place ensure that there is a high degree of awareness about community and localism among officers and members.</p>
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Sign Off and Comments

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Sign Off Complete

## CE\_M03 Failure to prepare policy and strategy around Localism

Category: Marketplace	Corporate Priority: Building Community Capacity		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
The consequences are the same as for CE_M02 above.		Building Community Capacity is one of the five priorities in the Council's Corporate Plan.  Officer/Member awareness and training events on localism and the community rights.  Setting up of Community and Localism Corporate Working Group to advise staff and members on policy and strategy.  Workshops held with Voluntary Service Organisations.  Workshop arranged with senior members in June 2015.  Twice yearly COG meetings with Dacortium.  Quarterly meetings of the Dacortium Sub-group (AD		The existing controls ensure that the Council has in place policies and strategies for working with the voluntary and community sector, encouraging involvement and self help, safeguarding the interests of vulnerable and deprived groups and communities, and promoting and developing resident led activities.	

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	<p>level)</p> <p>The setting up of the internal Health and Wellbeing Group as a sub-group of the Community and Localism Group which advises the Health in Dacorum Committee.</p> <p>Representation at the Public Health Board (AD Chief Executive's Unit).</p> <p>Appointment of officer within the Partnerships Team who focuses on health and wellbeing and evidence based decision making.</p> <p>Co-operation and liaison between the Partnerships and Neighbourhood Action Teams.</p>	
Sign Off and Comments		
Sign Off Complete		

## CE\_R01 Failure to deliver successful elections

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
4 Very Likely	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
Legal sanction and re-run of election at DBC expense.		- Election Preparation Plan and Risk Assessment		The Parliamentary, Borough and Parish/Town Council	

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<p>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"> <li>- Establish Election Team, allocate resources, audit and prepare equipment</li> <li>- Oversee actual Election</li> <li>- Check Results</li> <li>- Conclude election paperwork</li> <li>- Clear and Store election equipment</li> <li>- Prepare Ele</li> </ul>	<p>elections held in May 2015 were conducted successfully which demonstrates the effectiveness of a comprehensive action plan which is monitored and updated every two weeks by the Chief Executive, as the Returning Officer, and the AD Chief Executive's Unit and the Group Manager (Democratic Services) as the two Deputy Returning Officers. The same approach will be used for the PCC elections in 2016.</p>
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## Sign Off and Comments

Sign Off Complete

## CE\_R08 The CSGC contractor focuses attention on meeting speed of response targets and not quality of service

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
2 Unlikely	3 High	6 Amber	3 Likely	3 High	9 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Calls are not resolved at first point of contact. Insufficient time is dedicated to callers to ensure that call has been fully resolved in a satisfactory manner. Reputational damage to the Council.		- Six monthly customer satisfaction survey - Quarterly quality assessment by Group Managers - Monthly meetings with back officers to assess service delivery and monthly operational Board meetings to escalate issues. - monitoring of complaints and perfo		- Monthly performance reports - Minutes of Operational Board meetings - Quarterly Partnership Board meetings  All of the above provide assurances that the CSGC contractor maintains focus on achieving the response targets and quality of service.	

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## Sign Off and Comments

Sign Off Complete

**CE\_R09 During the transformation of the CSCG there is a high level of requirement for DBC staff resource**

<b>Category:</b> Financial	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
4 Very Likely	3 High	12 Red	3 Likely	3 High	9 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
The Customer Relationship Management and Channel Shift projects cannot be implemented in the timescales resulting in reduced value from the contract or increased resource impact on DBC to maintain the pace.		- Digital Dacorum project set up with involvement from Northgate to support work to implement channel shift and development of customer insight. - CRM project board overseeing delivery of CRM.		- Terms of Reference of Digital Dacorum. - Digital Dacorum project streams include channel shift and web functionality and development, digital inclusion - Project plan for CRM implemented.	

## Sign Off and Comments

Sign Off Complete

**CE\_R10 The introduction of inform 360 and automated self-service options via telephone reduces access and/or satisfaction with contact**

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>

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3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
Increase in customer dissatisfaction with the Council. Potential reduction in contact with customers and missed opportunities for citizen insight		- Monthly meetings and quarterly audits with GMs to assess quality of customer contacts - Monitoring of customer comments and complaints - Review of scripts by Service Information Coordinators		Minutes of Operational and Partnership Board meetings - Digital Dacorum project streams include channel shift and web functionality and development, digital inclusion	
Sign Off and Comments					
Sign Off Complete					

## CE\_R11 Integration of CRM systems cannot be accomplished due to technical difficulties or high cost

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
The CRM project cannot be completed resulting in failure of the CSCG project and reduced impact of Citizen Insight and Evidence Based Decision Making initiatives. Resource intensive manual operations introduced as work around solutions		- Integration requirements identified in the CRM PID. Integrations assessed and taken forwards on the basis of need, impact and costs CSU Knowledge hub created with up to date online manuals to support development of CRM and training of staff.		CRM Project Initiation Document and project plan. Delivery requirements identified by workshops CRM project board oversight	



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Sign Off and Comments

Sign Off Complete