

OPERATIONAL RISK REGISTER

June 2016



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: 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	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
86% of adults use the internet regularly 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 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 - 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.		- 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	

OPERATIONAL RISK REGISTER

June 2016



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 have 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 for benefits, green waste charging, allotments and reports of homelessness has been launched (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 (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 solution (Project 10)

Sign Off and Comments

OPERATIONAL RISK REGISTER

June 2016



Sign Off Complete

We are continuing to make good progress in delivering our digital vision. In particular we are focusing on putting more services online, channel shifting residents and digitising more of our back office work. Therefore we do not consider it necessary to change the rating for this risk.

In comparison to the same period in 2015, website visits have increased by 18%, face to face visits have decreased by 24% and we have had a 4% reduction in phone calls. This reduces the strain on front line services and reduces the cost of contacting residents.

Internally we have seen a 3% reduction in postage costs and a 20% reduction in printing. We have also automated a number of processes and are helping re-design existing policies and procedures.

What Next

Over the next six months we will be launching a number of new services including a new website for the Old Town Hall, rebranding the complaints and waste e-forms and launching a Council Tax self-service portal.

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	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 performance, projects and complaints is vital if we are going to successfully deliver the Council's objectives and priorities.		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 monitor performance, projects and complaints on a monthly, quarterly and annual basis	
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.		We have a well established performance management system (Corvu) underpinned by a detailed performance		- We have a dedicated performance and project management system (Corvu)	
				- We have a project management framework (managing	

OPERATIONAL RISK REGISTER

June 2016



<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 lead to expensive or ineffective remedial work.</p> <p>Failure to manage complaints can lead to poor service, dissatisfaction and an inability to learn from mistakes and issues.</p>	<p>framework.</p> <p>We have a team of performance and project management specialists and on a monthly basis we produce programme and performance monitoring reports which are scrutinised at a Member led Performance Board and Group.</p> <p>We have a robust complaints policy and a specialist complaints management system.</p>	<p>projects successfully)</p> <p>- We have a detailed complaints policy and procedure</p>
---	--	---

Sign Off and Comments

Sign Off Complete

Over the last quarter we have continued to manage performance and projects in an effective way. The majority of KPIs (72%) and projects (70%) are on target. We've also had positive feedback from the LGA review regarding our project management set-up. We received 135 complaints in Q1 and 98% were resolved in our agreed deadline. Furthermore we've reviewed our complaints procedure and we will be bringing a revised complaints policy to Cabinet.

What Next

We are upgrading our performance management system and we are also going to implement a virtual project office. In addition we are producing a detailed trend report looking at complaints and identifying any systemic trends that need to be addressed.

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: 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	2 Unlikely	4 Severe	8 Amber

OPERATIONAL RISK REGISTER

June 2016



Consequences	Current Controls	Assurance
<p>The community contracts provide vital support services for some of the most vulnerable residents in Dacorum.</p> <p>The contracts are:</p> <ul style="list-style-type: none"> - Information, Advice and Advocacy - 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 have introduced a number of controls which manage the risk of not achieving the service outcomes:</p> <p>We have undertaken a comprehensive and robust commissioning process, which ensures that we select providers that can deliver on our objectives.</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>	<ul style="list-style-type: none"> - Commissioning Tender Returns - Individual Contracts and Agreements - KPI Monitoring Reports
Sign Off and Comments		
Sign Off Complete		

OPERATIONAL RISK REGISTER

June 2016



This is a new risk and we are still in the commissioning process.

All contracts have been out for tender and we have received submissions for each. One contract is currently live, the rest will be launched by the end of December 2016. Our first performance meeting with CAB (Information, Advice and Guidance Contract) will be commencing in September 2016. The contract management arrangements and reporting requirements are in place.

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

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

OPERATIONAL RISK REGISTER

June 2016



negative use or postings.	<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 and ICT.</p>	<p>social media channels.</p> <p>- We have a communications strategy and a social media strategy. We also have a detailed service plan for communications.</p>
---------------------------	---	--

Sign Off and Comments

Sign Off Complete

This is a new risk. In the last quarter we posted 953 messages across our media channels. Over the same period we received 244 direct messages which were responded to in accordance with our social media policy and guidance. The overall Twitter reach for this period is 1.76 million with 8,127 followers. We also ran a number of campaigns including Clean and Tidy (Clean for the Queen), Dacorum's Den, Elections and Democracy(Referendum) and Hemel Evolution (Fountain and Water Gardens). It is also worth noting that our Communications teams have been nominated for Chartered Institute of Public Relations (CIPR) awards.

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: 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	2 Unlikely	4 Severe	8 Amber

OPERATIONAL RISK REGISTER

June 2016



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 (11%).
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.	We have regular employee relation meetings with trade unions and we consult with them on changes to any relevant policies and procedures.	- 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.
It could also result in appeals and employment tribunal cases and staff turnover will increase causing additional disruption and cost.	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

This is a new risk. Over the last quarter HR has continued to support and coach managers through all employee relation cases. In autumn we will be launching our new People Strategy, which will be central in setting out our long term vision and plan of action to ensure we have the right staff in the right place and that they are highly motivated and productive.

OPERATIONAL RISK REGISTER

June 2016



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: 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	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
Managing and adapting to change is key if we are going to deliver the Council's vision.		We have introduced a number of controls which manage the risk:		- 87% of staff are willing to work with change (staff survey)	
That's why we need to develop and foster a workforce that is flexible, responsive and able to manage organisation change.		Our Corporate training programme (featuring mandatory training courses) ensures that staff have the right skills.		- Regular staff forum briefings with a bespoke information section on the intranet	
The consequences of this risk include dis-engaged staff, service delivery issues and low productivity.		We have created a Cultural Board to ensure we have the right tools and culture to work in a modern and effecient way.		- Good attendance in the managing in Dacorum Programme	
We could also experience high levels of turnover and a likelihood that key staff would relocate to other organisations.		The Manging in Dacorum Programme – identifies and develops key management skills in our Leaders.		- 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.	
Staff not understanding the new culture within the forum could also cause productivity issues and relationship problems.		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.			

OPERATIONAL RISK REGISTER

June 2016



	Our Service Efficiency Programme (overseen by the Chief Operating Group) will also help to develop the change attitude within the organisation.	
--	---	--

Sign Off and Comments

Sign Off Complete

This is a new risk. We are undertaking a number of projects to help develop the change capacity of the organisation. We have worked with staff to create a Forum culture guide to highlight expected behaviour in the new environment. We have begun consultation on a People Strategy to set out our new approach to staff. We have also had the preliminary findings from the LGA peer review, which identified a number of positive aspects around our culture and delivery as well as some areas for further improvement. Our staff survey has also highlighted some areas for focus and we have set up a project to look at further changes that need to be made.

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: 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	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		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 - infrastructure - special projects - business applications		- 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

June 2016



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.

In terms of controls we have 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.

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

OPERATIONAL RISK REGISTER

June 2016



This is a new risk. An invitation to tender is currently live on the procurement portal for the provision of a corporate Applications Review. We are also reviewing the structure of support for our business applications. Work is also continuing on implementation of new technology include a new remote access programme and Skype for Business.

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: 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	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.		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.	

OPERATIONAL RISK REGISTER

June 2016



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.

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

OPERATIONAL RISK REGISTER

June 2016



This is a new risk. Agreement has been reached for new resilient connectivity between The Forum and the data centres (removing common path to local BT exchange). We are also continuing to work on our annual submission for PSN compliance.

Overall systems availability was 100% across Q1. However there was an outage in our primary data centre in July (as a result of a failure of Bucks County Council equipment). We are working with Bucks to understand what further countermeasures can be introduced.