OPERATIONAL RISK REGISTER

September 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:	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
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 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

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

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We are continuing to make good progress in delivering our digital vision. We have launched a new website for the Old Town Hall, delivered digital training for residents and we will shortly be going live with 'find my nearest' functionality.

We are also digitising a number of internal processes including stationary ordering, car park permit applications and looking at how to automate Statutory Comments and Officer Decision Sheets.

In terms of the impact of these changes, Q2 website visits continued to maintain the improvement compared to last year and we have maintained the 25% reduction in face to face visits when compared to 2015. Internally we have seen a 3% reduction in postage costs and a 26% reduction in printing. We have also automated a number of processes and are helping re-design existing policies and procedures.

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	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	- We monitor performance, projects and complaints on a monthly, quarterly and annual basis - We have a dedicated performance and project management system (Corvu) - We have a project management framework (managing projects successfully) - We have a detailed complaints policy and procedure

outcomes. It also causes opportunity costs and can leads 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.

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.

We have a robust complaints policy and a specialist complaints management system.

Sign Off and Comments

Sign Off Complete

In the last quarter we have continued to deliver an effective approach performance, projects and complaints. 64% of high priority KPIs and 70% of strategic projects are on target. We received 144 complaints in Q2 and 94% were resolved in our agreed deadline.

In terms of delivery we have gone live with the new performance reporting system in several team areas. We have also started to make some improvements to project reporting ahead of a re-launch of our approach in February. Work is also underway to implement our new complaints policy.

PP_R014 Failure to achieve the service outcomes outlined in each of the new community 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.	We have introduced a number of controls which manage the risk of not achieving the service outcomes:	- Commissioning Tender Returns - Individual Contracts and Agreements

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The contracts are:	We have undertaken a comprehensive and robust commissioning process, which ensures that we select providers that can deliver on our objectives.	- KPI Monitoring Reports
- Information, Advice and Advocacy - Supporting the Voluntary Sector - Reducing Social Isolation - Living Stable Lives - Promoting Healthy Relationships		
	We will agree KPIs with each contract and these will be reported to the CEO and Portfolio Holder.	
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.	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.	
Failure to deliver would also adversely affect the capacity of the local VCS, with implications for the broader support base.		
	We have also commissioned an audit of our process by Mazars.	
There would also be negative implications for the reputation of the Council and for the services involved.		

Sign Off and Comments

Sign Off Complete

All contracts have been out for tender and four out of five have completed the procurement process. Two contracts are currently live, the rest will be launched by the end of December 2016. Our first performance meeting with CAB (Information, Advice and Guidance Contract) was held in September 2016. The contract management arrangements and reporting requirements are in place.

Overall 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.

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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	4	8	1	4	4
Unlikely	Severe	Amber	Very Unlikely	Severe	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 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.

	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 quarter 2 we posted 1,460 messages across our 18 social media channels. Over the same period we received 319 direct messages which were responded to in accordance with our social media policy and guidance.

The overall Twitter reach for this period is 3.06 million with 9,270 followers. We also ran a number of campaigns including Community Champion Awards 2016, Hemel Evolution (Water Gardens), London Road Apsley, (36 new Council homes) and communication campaigns including the Olympics (Max Whitlock and Jessica Stretton), e-newsletter (Digital Digest) and Tring Memorial Gardens entry award for Green Flag People's Choice Award. Our Communications teams have also recently won a CIPR Gold award for 'Best Publication' for Dacorum Digest.

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.	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.		

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Failure to effectively manage all aspects of employee relations can have a number of implications.

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.

We have robust employment policies that are reviewed regularly to ensure they are in line with good practice 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.

- 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%).

- 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.

Sign Off and Comments

Sign Off Complete

The HR team continues to support and coach managers through all employee relation cases and to ensure that our policies and procedures are robust and reflect best practice and the latest developments in Employment Law. However staff turnover remains low and we have had no employee tribunal claims in the last 6 months.

Work on the new People Strategy is underway and this 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.

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:

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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**
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences	**Current Controls**		**Assurance**		

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 likelihood 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 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. According to the Herts Tracker Survey 72% of our residents are satisfied with our services, which is the second best in Hertfordshire.

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Sign Off and Comments
Sign Off Complete
We are continuing to develop a number of projects to help develop the change capacity of the organisation. In the last quarter the Improvement and Innovation team have provided 25 days of internal 'change consultancy' to help services re-design processes, use nudge theory to re-write letters and provide training on engaging with residents. The team have also been commissioned to review the housing service.

We have delivered a number of improvements as part of the Forum Cultural Programme and work is underway on the introduction of a new People Strategy. We are also developing new proposals on the use of data and supporting the broader introduction of the corporate efficiency strategy. |

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 | 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 | - 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 |

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		

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A consultant has been appointed to review our line-of-business applications with the aim of streamlining and improving the resilience of our systems. This work is scheduled to begin in mid-October.

Work is also continuing on implementation of new technologies to improve remote access and contact including upgrading to Skype for Business and installing Direct Access.

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

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	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.

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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.

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

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Our approach to ICT resilience continues to be robust. Work is underway on resilient connectivity between The Forum and the data centres (removing common path to local BT exchange). Work to fit out the new Forum including the installation of a new server room, which will become home to our secondary data centre in 2018, is also under way. Virtualisation of our telephony system is also expected to be completed by the end of October 2016.

We have submitted our PSN compliance documentation to the Cabinet Office for assessment and we are expecting the results shortly. In Q2 overall systems availability was 100% and web availability was 99.9%. There were no major power outages to report.