

OPERATIONAL RISK REGISTER

March 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: 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	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
<p>Services do not have access to information to plan, deliver and monitor services.</p> <p>Members do not have sound information about citizens and the community to base decisions upon.</p> <p>Resources continue to be used in a way that does not maximise impact.</p> <p>We do not develop or promote innovative ways of working.</p>		<p>How the Control Works</p> <p>The controls that have been implemented mitigate risk by introducing new tools and support mechanisms for evidence based decision making.</p> <p>In particular, the controls target interventions around the use of internal and external data, training for staff and guidance to help challenge existing ways of working including using behavioural insight.</p> <p>Further work has identified the need to review our approach to business information.</p> <p>The Controls</p> <ul style="list-style-type: none"> - Customer Insight post established to lead process. - New role of Innovation and Implementation Officer - Key information systems already in place. 		<ul style="list-style-type: none"> - EBDM PID - EBDM Tool Kit - TOR of Customer Insight joint working group - Project documentation and TOR for Customer Focus group 	

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	<ul style="list-style-type: none"> - Monthly meetings to monitor achievements and progress. - Evidence Based Decision Making tool kit has been created. - Citizen Insight function incorporated into CSCG contract with Northgate. - Customer Focus project has been completed with a number of actions and recommendations for services. - MOSAIC and Herts LIN have been rolled out to a number of teams in order that they can have access to more external information. - A number of staff have been enrolled onto the Commissioning Academy. - New team is reviewing the KPI list. 	
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Sign Off and Comments

Sign Off Complete

The EBDM tool-kit has been created to support roll-out and a formal launch across the business will be undertaken shortly. In addition we are finalising proposals to enhance our business intelligence systems and reviewing our approach to using outcomes. A draft behavioural insight strategy is also in development. A number of staff have also been enrolled on the commissioning academy.

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	3 High	6 Amber
Consequences		Current Controls		Assurance	

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<p>Failure to deliver an effective approach to digital services will lead to reputational damage.</p> <p>The customer experience will also suffer as residents cannot access services at a time and in a way that is best for them.</p> <p>The financial benefits are also not realised.</p>	<p>How the Control Works</p> <p>The controls that have been implemented mitigate the risk by ensuring that we have a forward thinking strategy and a robust and deliverable plan.</p> <p>In particular, the controls address the different concerns of channel shift including the website look, the digital experience, functionality and how you encourage people to use online services.</p> <p>The controls also contain details of resources to ensure that we have the capacity to deal with the risk.</p> <p>The Controls</p> <p>Launch of a Digital Dacorum Strategy and Implementation Plan focused around 11 key projects.</p> <p>Recruitment of specialist digital skills.</p> <p>Creation of group digital plans.</p> <p>Support for digital is included as part of the contract with Northgate.</p> <p>The Org. Transformation Corporate Working Group has responsibility for monitoring digital.</p>	<ul style="list-style-type: none"> - Digital Dacorum Strategy and Plan - Team Structure - OT CWG - TOR - Northgate Contract
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Sign Off and Comments

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Sign Off Complete

The new digital strategy (Digital Dacorum) is in place. A programme plan of 11 projects has been set up and work has begun on each of the projects including developing a specification for the website and discussions with Northgate on CRM.

The individual Group templates have been completed and a development roadmap has been created. Work has also been done to raise our digital profile including two successful applications for pilot funding with the LGA and DCLG.

A new Digital Implementation Officer has been appointed and a Digital Project Manager is in place.

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

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	3 High	6 Amber
Consequences		Current Controls		Assurance	
<p>Poor project management leads to cost overruns, delays and poor outcomes.</p> <p>An inconsistent approach to projects also leads to issues of capacity and resources.</p>		<p>How the Controls Work</p> <p>The controls that have been implemented mitigate the risk by ensuring that we have an effective and consistent approach to managing and monitoring projects.</p> <p>In particular, the controls look at the different elements of the project management process. This includes project guidance, project governance and budgeting.</p> <p>A new PM passport is also under development to ensure that any staff managing projects have the required skills.</p>		<ul style="list-style-type: none"> - Project guidance - Corvu Reporting - Monthly PB minutes - Performance and Project Structure 	

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The new corporate project management-Team Leader is also going to be providing support for high value projects including the move to the Forum.

The Controls

- The monthly Performance Board scrutinises key programme performance.
- The Corvu Project Management System enables senior managers to monitor and report on project performance.
- Project management guidance is in place including the need to bring project initiation documents to CMT.
- Each project has a formal governance process, for example a Project Board.
- The organisation has a number of specialist project managers. External expertise has also been procured for major contracts.
- The Assistant Director of Performance and Projects is responsible for improving the quality of project management.

Sign Off and Comments

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Sign Off Complete

A number of changes have been made to the reporting format to improve the quality of project reporting.

A new corporate project manager has also been recruited and he is currently finalising new project guidance and training.

In addition a new project scrutiny panel will be set up.

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

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	3 High	6 Amber
Consequences		Current Controls		Assurance	
<p>Lack of effective performance management causes issues with delivery and budgeting.</p> <p>An inconsistent approach to performance also causes negative impacts on other areas.</p> <p>Resources can be diverted when they are better spent elsewhere.</p>		<p>How the Controls Work</p> <p>The controls that have been implemented mitigate the risk by ensuring that we have a robust and challenging approach to performance management.</p> <p>In particular, the controls address the different elements of performance management including effective monitoring, challenge for those who aren't performing and the chance to share best practice.</p> <p>The controls also contain details of resources to ensure that we have the capacity to deal with the risk.</p>		<p>- Corvu Reporting</p> <p>- Performance and Project Structure</p>	

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<p>The Controls</p> <p>The Corvu Performance Management System enables senior managers to monitor and report on performance.</p> <p>The Performance Team has introduced a series of measures including performance clinics and coaching.</p> <p>The Assistant Director of Performance and Projects is responsible for improving the quality of performance management.</p>	
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Sign Off and Comments

Sign Off Complete

A number of changes have been made to the reporting format. Performance clinics have also been introduced to tackle poor performance and we have followed a new process to ensure stricter target setting. In addition we have recruited a new performance management specialist to ensure that we have the resources and capacity. Proposals are also being finalised to review our performance system.

PP_R03 Services are not supported to deliver continuous improvement and innovation

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	3 High	6 Amber
Consequences		Current Controls		Assurance	
Services stay the same and do not improve to match increasing customer expectations		How the Controls Work The controls that have been implemented mitigate the		- Performance and Improvement Team service plan 2014/15	

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<p>Opportunity costs from not delivering new innovations</p> <p>Poor reputation</p>	<p>risk by promoting an environment that encourages innovation.</p> <p>In particular, the controls look at practical ways to stimulate new ways of thinking.</p> <p>It also introduces a research strategy and the development of an innovation led.</p> <p>The dedicated resources also help to create new ideas.</p> <p>The Controls</p> <ul style="list-style-type: none"> - Recruitment of Innovation and Improvement Officer. - Dacorum Anywhere programme highlights need for review of working practices - Making it Real work with T3 designed to highlight areas for improvement - An innovation and research strategy is in development. - The service planning process has enabled the organisation to review how it works and identify opportunities for improvement. - The evidence based decision making toolkit also includes exercises to promote efficiency. 	<ul style="list-style-type: none"> - Northgate contract - T3 work - EBDM tool kit
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	<ul style="list-style-type: none"> - Proposals are also in place for the Performance and Project team to undertake mini-service reviews. - Insight funding is included as part of the Northgate contract. - Submissions are being made to a number of pilots -Better@Dacorum helps to stimulate new ideas and challenge existing orthodoxies. 	
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Sign Off and Comments

Sign Off Complete

A new Innovation and Improvement Officer has been recruited and work is being done to complete our innovation and research strategy. A project is also underway to improve our identification and sharing of innovation. An innovation lab is currently under development as are practical guides on behavioural insight and service evaluation.

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

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	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Poor ICT supports makes it more difficult for departments to provide their services.		How the Control Works The controls that have been implemented mitigate the		- ICT Strategy - Cabinet 21/01/14. - ICT Service Plan.	

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<p>Issues with ICT can also have a negative impact on the reputation of the Council.</p> <p>There can be significant knock-on costs as a result of problems with IT.</p> <p>It will also make other agenda's like Digital Dacorum harder to implement.</p>	<p>risk by ensuring that we have the necessary plans, budgets and vision in place to deliver a high quality IT service.</p> <p>In particular, the controls address the service plan and focus of the team as well as approved SLA's and budgets.</p> <p>It also covers the longer term direction of travel including new projects like SharePoint.</p> <p>The Controls</p> <ul style="list-style-type: none"> - ICT Strategy and Improvement Plan. - Fully resourced ICT staffing structure. - Web Content Editor in place to support Digital Dacorum. - Long term Digital Dacorum vision and implementation plan. - Technical project Manager in place. - A number of IT projects are being delivered including SharePoint. 	<ul style="list-style-type: none"> - ICT staff structure. - TOR for joint Customer Insight working group. - Web and customer access strategy 2nd Edition (Cabinet May 2014).
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Sign Off and Comments

Sign Off Complete

Following recruitment the ICT team has continued to achieve its key indicators. Plans and work is also underway to deliver a number of improvements including an upgrade to SharePoint and preparation for the move to the Forum.

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

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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	
The continuous improvement programme will miss timescales and will slip		<p>How the Controls Work</p> <p>The controls that have been implemented mitigate the risk by ensuring that we have an effective approach to planning, budgeting and managing the corporate admin and performance teams.</p> <p>In particular, the controls utilise well established Finance and DBC wide controls (including service planning) as well as relying on day to day management.</p> <p>A number of improvement activities have also taken place including the implementation of EDRMS.</p> <p>The Controls</p> <ul style="list-style-type: none"> - Regular reconciliation of resources required to resources provided in project reports - Project Management methodology and gateway process in place - Regular one to ones are held with GM's and TL's - service plans in place for both teams 		<ul style="list-style-type: none"> - Monthly project reports available on Corvu. - Project Management methodology document - Minutes from review with finance - Service plans 	

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- Monthly reviews of budgets with Finance

Sign Off and Comments

Sign Off Complete

Service Plans for Corporate Support and Performance and Projects have been implemented. A new performance and projects structure has been introduced and the corporate admin team have taken on a number of new responsibilities.

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

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Cllr Neil Harden	Tolerance: Terminating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	3 Likely	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
Paper based systems are retained, reducing the capacity for flexible working. Change to new ways of working not achieved. Loss of information due to multiple systems in operation and increased use of mail posting to home addresses		<p>How the Controls Work</p> <p>The controls that have been implemented mitigate the risk by ensuring that we have developed and implemented the technology for a paperless office (EDRMS), as well as addressing the culture and business process side.</p> <p>In particular this dual approach will ensure that DBC can benefit from the opportunities and mitigate any issues that occur with the use of this approach.</p> <p>The Controls</p>		<p>- Report to CMT 1 October 2013.</p> <p>- New EDRMS departmental project plans will be established</p>	

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	<ul style="list-style-type: none">- EDRMS system established and in place and being rolled out to all departments.-New dept. projects plans are being established to accelerate progress.- Repographics equipment in place- Training programme has been rolled out.- As part of the Digital Dacorum programme we have established a project to focus on paperless offices.- Cultural changes are being supported to benefit the move.- The implementation of Digital Dacorum will also support reduced paper.	
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Sign Off and Comments

Sign Off Complete

EDRMS has been successfully rolled out. Further work is also being undertaken as part of the Forum project to ensure that the culture and business processes are re-designed to support paperless working. Project 11 of Digital Dacorum also focuses on smarter working which will help reduce the use of hard copy communications.