



# Strategic and Corporate Services Risk Register

JUNE 2014

## Strategic & Corporate Services Directorate Summary Risk Profile

Low = 1-6
Medium = 8-15
High = 16-25

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating
STCS 03	Maintain a healthy and effective workforce across STCS through significant change	8	8
STCS 04	Utilisation of Enterprise Resource Planning (ERP) and other transactional systems	9	6
STCS 05	Collaboration of corporate support services to support implementation of New Ways of Working	6	4
STCS 07	Capacity and capability challenges relating to corporate support functions	9	6
STCS 08	Failure of Contact Centre telephony system	16	3

\*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Corporate Register. Therefore there will be some 'gaps' between risk IDs.

NB: Current & Target risk ratings: The 'current' risk rating refers to the current level of risk taking into account any mitigating controls already in place. The 'target residual' rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

**Likelihood & Impact Scales**

<b>Likelihood</b>	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
<b>Impact</b>	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

<b>Risk ID: STCS 03      Risk Title: Maintain a healthy and effective workforce across STCS through significant change</b>						
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The STCS workforce plays a vital role in supporting the organisation to run effectively and efficiently. The staff across the directorate need to be healthy, motivated and have the right skills to help the organisation develop.	Low morale or stress related to organisational change or other factors.	Negative impact on organisational effectiveness and service levels.	Amanda Beer, Corporate Director Human Resources	Unlikely (2)	Serious (4)	
	Increased sickness levels. Failure to develop the right skills in staff. Lack of depth/resilience in key staff. Ineffective workforce/succession planning.			<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Serious (4)	
<b>Control Title</b>			<b>Control Owner</b>			
Arrangements in place for active monitoring and response to absence			Paul Royel, Head of Employment Strategy			
Attendance policy and practice reviewed, updated and communicated. Ongoing review as required			Paul Royel, Head of Employment Strategy			
Coaching and mentoring network in place			Jackie Turner-Robinson, Head of HR Business Centre			
Directorate Organisational Development Group established			Nigel Fairburn, Organisation Effectiveness Manager			
Suite of KPIs being monitored as early warning indicators e.g. retention, absence			Amanda Beer, Corporate Director Human Resources			
Employee Engagement Strategy			Paul Royel, Head of Employment Strategy			
iResilience Tools			Amanda Beer, Corporate Director Human Resources			
KCC Staff Health and Wellbeing Group in place			Nigel Fairburn, Organisation Effectiveness Manager			
Managing Stress at Work Policy			Helen Bale, Head of Health & Safety			

<b>Risk ID: STCS 03      Risk Title:    Maintain a healthy and effective workforce across STCS through significant change contd.,</b>		
Public Health supporting and advising on the commissioning of Mental Health First Aid training.		Andrew Scott-Clark, Interim Director Public Health
Attendance management policies and training for managers in place		Paul Royel, Head of Employment Strategy
Staff Care services		Helen Bale, Head of Health & Safety
Directorate feeds in to KCC Training Plan		Nigel Fairburn, Organisation Effectiveness Manager
Wellbeing initiatives and health promotions for staff		Paul Royel, Head of Employment Strategy
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Support the development and implementation of the “Because of You” staff engagement campaign	Nigel Fairburn, Organisation Effectiveness Manager	Completed
Extension of the Employment Value Proposition (EVP) survey as part of the staff engagement programme	Paul Royel, Head of Employment Strategy	Completed

<b>Risk ID: STCS 04      Risk Title: Utilisation of Enterprise Resource Planning (ERP) and other transactional systems</b>					
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
KCC is dependent on the ongoing development and use of systems, such as those on the Oracle platform, to maximise the efficiencies to be achieved from moving away from manual or less efficient processes and to aid the concept of the 'self-sufficient manager' in KCC	Key stakeholders do not engage with the processes supported by those systems and therefore systems are not utilised. ERP solutions do not meet service requirements.	Development will cease/be reduced which will limit opportunities to replace manual and other less efficient systems. This will result in more manual processes across the organisation limiting the potential to achieve efficiencies. The availability and reliability of the data used for business intelligence purposes could be compromised. KCC fails to improve efficiency of intelligence and makes poor decisions.	Amanda Beer, Corporate Director HR; Peter Bole, Director ICT; Richard Hallett, Head of Business Intelligence; Andy Wood, Corporate Director Finance & Procurement	Possible (3)	Significant (3)
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
				Unlikely (2)	Significant (3)
<b>Control Title</b>			<b>Control Owner</b>		
Business Intelligence Competency Centre (BICC) established			Richard Fitzgerald, Performance Manager		
Communications and training functions represented on ERP Sponsoring Group. Joined up communications plan as part of "Doing things Differently" campaign. K-mail article produced and staff engagement manager assisting the work.			Richard Hallett, Head of Business Intelligence		
Exalytics box purchased to improve performance of Oracle Business Intelligence (OBI) and to support future mobile working			Richard Hallett, Head of Business Intelligence		
Framework contract in place to provide ad hoc technological support for OBI development			Richard Hallett, Head of Business Intelligence		
Revenue and Capital funding available for Phase 2 development			Richard Hallett, Head of Business Intelligence		
8,600 HR self-service users, 1,500 i-procurement users, 330 budget managers using Collaborative Planning, 900 managers with access to Oracle Business Intelligence and 8,000 e-learning registered users, already in place			Richard Hallett, Head of Business Intelligence/Andy Wood, Corporate Director Finance & Procurement/Amanda Beer, Corporate Director HR		

<b>Risk ID: STCS 04      Risk Title: Utilisation of Enterprise Resource Planning (ERP) and other transactional systems    contd.,</b>		
Programme Manager and Project Management Capacity in place		Richard Hallett, Head of Business Intelligence
Refreshed training programme in place		Natasha Stonestreet, ERP Programme Manager
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
OBI roadmap update to be agreed by the BICC	Richard Hallett, Head of Business Intelligence	11/07/2014
Highways finance, Ofsted, Contact Point and HR dashboards to be ready for Managers	Richard Hallett, Head of Business Intelligence	30/09/2014
Further roll-out of Collaborative Planning to achieve full coverage	Andy Wood, Corporate Director Finance & Procurement	March 2016
Further roll-out of i-procurement to achieve appropriate coverage	Andy Wood, Corporate Director Finance & Procurement	March 2016
<i>(Note: Collaborative Planning and iprocurement actions will be reviewed at regular intervals until planned completion date achieved)</i>		

<b>Risk ID: STCS 05 Risk Title: Collaboration of corporate support services to support implementation of New Ways of Working</b>					
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The New Ways of Working Programme sets out to deliver refreshed office environments and smarter ways of working across the organisation, acting as an enabler to change. The programme also has significant savings attached.	The key interfaces across corporate support services are not identified or coherently brought together, which would make implementation across the Authority more challenging or prevent successful programme delivery. Interdependencies with other change programmes not identified and managed.	The organisation fails to engage with the programme. Programme objectives including asset rationalisation and allocated savings not met, or not met on time.	Amanda Beer, Corporate Director HR;	Possible (3)	Moderate (2)
			Peter Bole, Director ICT; Barbara Cooper, Director Economic & Spatial Development; Rebecca Spore, Director Property & Infrastructure Support	<b>Target Residual Likelihood</b>  Unlikely (2)	<b>Target Residual Impact</b>  Moderate (2)
<b>Control Title</b>			<b>Control Owner</b>		
Ongoing engagement and communication work with KCC staff on the programme and its impact			Rebecca Spore, Director Property & Infrastructure Support		
Management of the implications in place of any new governance arrangements required by the programme.			Rebecca Spore, Director Property & Infrastructure Support		
Independent assurance being gained from monitoring Budget Programme Board			Andy Wood, Corporate Director Finance & Procurement		
Appropriate arrangements across the Strategic and Corporate Services directorate in place for the roll out of the programme, including interconnection to HR and ICT work streams			Rebecca Spore, Director Property & Infrastructure Support		
Interdependencies with other programmes being mapped			Bob Appleby, New Ways of Working Programme Manager		
Portfolio Management arrangements established to identify and manage organisation wide interdependencies			Paul McCallum, Head of Corporate Portfolio Office		
Robust programme management mechanisms – Programme Board and dedicated Programme Manager in place			Rebecca Spore, Director Property & Infrastructure Support		
Vision for New Ways of Working developed			Rebecca Spore, Director Property & Infrastructure Support		
Suite of interventions introduced by HR function to support the programme			Nigel Fairburn, Organisation		



Effectiveness Manager

**Risk ID: STCS 05      Risk Title: Collaboration of corporate support services to support implementation of New Ways of Working contd.,**

<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Lead the 'People Management' work streams of the programme, including communication/consultation, staff forecasting, change management, training for managers and staff and terms & conditions issues	Rob Semens, HR Business Partner	30/06/2014
Following initial implementations carry out a review to address lessons learnt as part of future programme roll-out/implementations.	Rebecca Spore, Director Property & Infrastructure Support	01/09/2014
Update communications plan to support programme	Amanda Beer, Corporate Director, HR	01/09/2014
Review and revise integration and engagement plan including ICT and Contact Point	Mark Cheverton, Head of Estate Management and Disposals	30/07/2014

<b>Risk ID: STCS 07 Risk Title: Capacity and capability challenges relating to corporate support functions</b>					
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
Support services across the directorate are facing the challenge of achieving budget savings for 2014/15, maintaining day-to-day operations and playing a key role in helping the organisation through significant change. At the same time these services are subject to service review and market testing.	Insufficient capacity to maintain day-to-day delivery on top of 'Facing the Challenge' support. Lack of appropriate skills and competencies as the Directorate moves forward as part of the transformation agenda.	Levels of service drop or support for Facing the Challenge cannot be given in timescales.	Strategic & Corporate Services Directorate Management Team	Possible (3)	Significant (3)
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
				Unlikely (2)	Significant (3)
<b>Control Title</b>			<b>Control Owner</b>		
Impacts of transformation being monitored.			Strategic & Corporate Services Directorate Management Team		
Bids put forward to transformation budget for additional resource.			Strategic & Corporate Services Directorate Management Team		
Project based approaches being adopted and resource mapping in place where required			Strategic & Corporate Services Directorate Management Team		
<b>Action Title</b>		<b>Action Owner</b>	<b>Planned Completion Date</b>		
Review resource requirements regularly in light of projected workload and Facing the Challenge, reprioritising business activities as appropriate and bringing in dedicated resources to manage Facing the Challenge activity.		Strategic & Corporate Services Directorate Management Team	30/09/2014 (review)		
Establish a Property Transformation Group to ensure that wider staff group are involved in plans as they develop		Rebecca Spore, Director Property & Infrastructure/Property Senior Management Team	01/09/2014		
Development of appropriate skills and competencies for change once requirements are clear.		Strategic & Corporate Services Directorate Management Team	30/09/2014		

<b>Risk ID: STCS 08</b>		<b>Risk Title: Failure of Contact Centre telephony infrastructure</b>			
<b>Source / cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
Existing local telephony infrastructure difficult to maintain with increasing likelihood for failure	There is a risk that the telephony system will fail and our ability to repair any failure in the equipment is going to be increasingly compromised due to the age of the equipment concerned.	Increased risk of telephony outage resulting in poor customer experience and reputational loss.	Barbara Cooper, Director Economic & Spatial Development  Peter Bole, Director ICT	Likely (4)  <b>Target Residual Likelihood</b> Very Unlikely (1)	Serious (4)  <b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>				<b>Control Owner</b>	
Close liaison with ICT telephony team to ensure that all advisable maintenance takes place to maximize durability of the existing Siemens telephony infrastructure				Christopher Smith, Operations Manager, Contact Point	
KCC wide move to Cloud Telephony system being pursued by Procurement Team after recent sign off by the Transformation Advisory Group (TAG)				Christopher Smith, Operations Manager, Contact Point	
Daily reports from Delivery Managers on status of equipment				Christopher Smith, Operations Manager, Contact Point	
Roll-out of Unified Comms provides more resilience for frontline services				Peter Bole, Director ICT	
<b>Action Title</b>		<b>Action Owner</b>		<b>Planned Completion Date</b>	
Further roll out of Unified Comms will provide resilience for further frontline services		Peter Bole, Director ICT		30/09/2014 (review)	
A new business continuity plan will be devised subject to the new CLOUD provider		Christopher Smith, Operations Manager, Contact Point		30/09/2014	
Contingency site at Ashford Highways being explored for PBX failure scenario in consultation with ICT		Christopher Smith, Operations Manager, Contact Point		30/06/2014	
Identify and procure alternative "Cloud" telephony system		Peter Bole, Director ICT		30/06/2014	
Installation of new "Cloud" telephony system		Peter Bole, Director ICT		30/09/2014	
Minimise the effect of outside impact on current infrastructure		Christopher Smith, Operations Manager, Contact Point		30/06/2014	