






**Corporate Risk and Opportunity Register  
Summary of the Higher Level Risk & Opportunities in Priority Order**

Key for Direction of Travel (DOT)

-  = Risk increased / opportunity decreased.
-  = Risk / opportunity static.
-  = Risk decreased / opportunity increased
-  = Risk / opportunity removed.
-  = New risk / opportunity.

	Ref. & DOT	Description and Lead for Issue	Developments
<b>Priority 1 (BI)</b>	<b>5</b>	<p><b>Business Continuity/Disaster Recovery (risk)</b>                      Inadequate organisational business continuity planning/disaster recovery arrangements to deal with major disruption to business leads to a breakdown in the business continuity/disaster recovery arrangements and results in poor service delivery/performance in the event of an emergency.  <b>Lead Directorate:</b> Sustainable Communities  <b>Lead Officer(s):</b> Lucy Magill, Head of Public Protection.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Council’s external website developed to store and allows access to Business Continuity Plans (via login/password arrangements). Existing service BCPs loaded on external website facility.</li> <li>– 16 service BCPs audited between Oct 2010 and Feb 2011.</li> <li>– Programme of testing developed. Test run for service s based on 2<sup>nd</sup> floor of COII Dec 2010. Number of learning points identified as a result of the exercise.</li> <li>– Business Continuity Management arrangements reviewed following learning from Audits and Testing (i.e. approach for Business Impact Analysis and Business Continuity Planning revised).</li> <li>– Business Continuity Management Group (BCMG) set up Feb 2011 and to meet on a quarterly basis. Group to focus on the ongoing review, updating and maintenance of BCP arrangements.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Load existing Corporate BCP on external website facility March 2011.</li> <li>– Quarterly meeting of the BCMG June 2011.</li> <li>– Service reviews of Business Impact Analysis and Business Continuity Plans using revised arrangements/templates. To identify the minimum resource and staffing requirements needed to maintain critical functions in the event of major disruption.</li> </ul>

<b>Priority 1 (BI)</b>	<b>42</b>	<p><b>ICT Infrastructure (risk)</b> The ICT infrastructure is outdated, fragile and maintenance and updates for key systems is expensive.</p> <p>And</p> <p>The ICT infrastructure and budget for e-government is not able to support service and efficiency strategies for achieving savings over the short and medium term and leads to a breakdown in the delivery of plans to deliver efficiency savings.</p> <p><b>Lead Directorate:</b> Change &amp; Improvement <b>Lead Officer(s):</b> Richard Waterhouse, Director of Transformation. Nigel Byatt, Head of Business Services.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- Draft ICT Strategy developed.</li> <li>- 2011/12 budget Capital bids for ICT incorporated in Cabinet Report Feb 2011. Agreed that prudential borrowing to be used for ICT projects.</li> <li>- Principals on the use of the existing budget (E-Government budget) under development.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Draft ICT Strategy to be reported to Cabinet Apr 2011, via Directors Board Mar 2011.</li> <li>- Development of business cases for ICT projects. Any business cases developed to be submitted to Cabinet for approval.</li> <li>- Principals on the use of the existing budget (E-Government) to be agreed.</li> </ul>
	<b>45</b>	<p><b>Managed Service for Temp/Agency/Interim Resource (opportunity)</b> The identification of a managed service provider with the ability to source staff resource at a temporary agency, interim and contractor level to cover all core services retained by the Council will lead to a large reduction in costs, improved planning of resource requirements, better management information on temp/agency/interim usage and spend.</p> <p><b>Lead Directorate:</b> Change &amp; Improvement <b>Lead Officer(s):</b> Richard Waterhouse, Director of Transformation, Tony Bulmer, Senior Project Manager.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- Approach and collection mechanism of current usage data developed.</li> <li>- Collection of data commenced Nov 2010.</li> <li>- Specification for tender compiled Dec 2010 and out for consultation Feb 2011.</li> <li>- Frameworks for tender identified and under consideration.</li> <li>- Major in house stakeholders identified. Communication and engagement with to stakeholders via Cultural, HR, Equality &amp; Change Board and Procurement Board.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Ongoing collection of usage data.</li> <li>- Decision on the framework to use for the tender to be finalised.</li> <li>- Establish selection approach for the tender.</li> <li>- Tender Jun 2011.</li> <li>- Ongoing communication and engagement with stakeholders via Cultural, HR, Equality &amp; Change Board and Procurement Board.</li> </ul>

Priority 1 (BI)	<p><b>49</b></p>	<p><b>Census 2011 (risk)</b>  The activities undertaken by the ONS/Council fail to influence the response rates for the census leading to an inaccurate or lower than expected population estimates for the Thurrock area. This would result in a reduced level of Government funding allocated to Thurrock Council, as the allocation of government grant to local authorities is based on population estimates.  <b>Lead Directorate:</b> Change &amp; Improvement  <b>Lead Officer(s):</b> Sandra Bain, GIS Manager</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- Provisional list of areas/population groups that will be less likely to return the census form supplied to ONS Area Managers.</li> <li>- Provisional information of the appropriate languages required for the area supplied to ONS Area Managers.</li> <li>- Provisional list of key contacts from the local community groups and Local Strategic Partnership supplied to ONS.</li> <li>- Number of community engagement meetings between ONS Manager and main community leaders within Thurrock area undertaken.</li> <li>- Number of completion events identified and organised.</li> <li>- Recruitment campaign for census staff from Jan 2011.</li> <li>- National communication campaign commenced Feb 2011.</li> <li>- Thurrock communication campaign established and commenced in line with National campaign Feb 2011.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Hold a series of completion events.</li> <li>- Ongoing National communication campaign Mar/Apr 2011.</li> <li>- Ongoing Thurrock communication campaign Mar/Apr 2011.</li> <li>- Census day Sunday 27<sup>th</sup> March 2011.</li> <li>- Local and National notices/adverts about enforcement May 2011.</li> </ul>
Priority 2 (AII)	<p><b>51</b></p>	<p><b>Health Transition (risk)</b>  Savings required of the PCT and shifting of health care commissioning to GPs leads to increased burden on the local authority  <b>Lead Directorate:</b> Community Well Being  <b>Lead Officer(s):</b> Lorna Payne, Director of Community Well Being. Ceri Armstrong, Strategy Officer.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- Watching brief on any emerging implications that may arise as a result of the implementation of the PCT's Quality, Innovation, Productivity and Prevention (QIPP) from Dec 10 onwards.</li> <li>- Regular meetings with PCT executive from Dec 10 to discuss issues identified and how these can be mitigated.</li> <li>- PCT setting up initial meetings of QIPP task and finish groups.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Maintain watching brief on any emerging implications that may arise as a result of the implementation of the PCT's Quality, Innovation, Productivity and Prevention (QIPP)</li> <li>- Ongoing regular meetings with PCT executive.</li> <li>- Council representation on PCT QIPP task and finish group and initial meeting undertaken.</li> </ul>

Priority 3 (CI)	<b>6</b>	<p><b>Equal Value Claims (risk)</b>          Equal value claims for staff. Claims pursued under the Equal Pay Act, if successful will have cost implications for the Council.  <b>Lead Directorate:</b> Change &amp; Improvement  <b>Lead Officer(s):</b> Jackie Hinchliffe, Head of Human Resources, Organisation Development and Customer Strategy.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Weekly meetings of the project team to consider legal advice and appropriate action. Regular reports to Directors Board and Cabinet.</li> <li>– Recent case hearings have resulted in a number of claims being dismissed and/or reduced.</li> <li>– Ongoing negotiations with claimants solicitors</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Ongoing meetings of the project team to consider legal advice and appropriate action. Regular reports to Directors Board and Cabinet.</li> </ul>
	<b>9a</b>	<p><b>School Building/School Place Planning (risk)</b>          Failure to plan effectively leads to school building stock not being fit for purpose to meet modern educational needs. In addition with a rapidly changing population, failure to develop and implement an effective co-ordinated strategy leads to a shortfall between supply and demand across the borough as a whole or within particular parts of the borough  <b>Lead Directorate:</b> Children Education &amp; Families  <b>Lead Officer(s):</b> Colin Stewart, Head of Policy Performance and Support.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Revised Capital Strategy / MTFS agreed by Cabinet Feb 2011.</li> <li>– 14-19 priorities - All projects, with one exception progressing as planned. One project, the development of joint 6<sup>th</sup> form/skills centre to be referred back to 17-19 Partnership to consider school level consensus about intended curriculum offer within the proposed joint facility.</li> <li>– Amalgamation of Quarry Hill Infant &amp; Junior completed Jan 2011.</li> <li>– Cabinet agreed final decision on amalgamation of Manor Infant &amp; Junior from Sept 11</li> <li>– Amalgamation of Thameside Infant &amp; Junior delayed at DfE pending decision on request for exemption from competition for new school.</li> <li>– DfE confirmed £14M investment in Ormiston Park, which will be new build under revised government framework and specifications.</li> <li>– Ockendon became Academy Jan 2011.</li> <li>– 4 other Thurrock secondary schools and one Thurrock primary school registered interest in Academy Status to date.</li> <li>– Gable Hall being progressed for move to Academy Status.</li> <li>– Primary Capital Programme projects to deliver significant facility improvements at West Thurrock Primary, Lansdowne Primary, Stifford Primary and Purfleet Primary in progress</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– 14-19 priorities - Ongoing progress of projects.</li> <li>– Gable Hall to become Academy Apr 2011.</li> <li>– Primary Capital Programme projects – works ongoing.</li> <li>– Explore alternative options for remaining PCP Capital Funds to mitigate the risk of central government claw back.</li> </ul>

<b>Priority 3 (CI)</b>	<b>38</b>	<p><b>Asset Management (risk)</b> Lack of a corporate strategy/plan to manage and maintain the Council's assets in line with priorities may impact on the achievement of the Council's priorities/objectives and/or the quality of services provided.</p> <p><b>Lead Directorate:</b> Sustainable Communities <b>Lead Officer(s):</b> Martin Hone, Director of Finance &amp; Corporate Governance. Ian Rydings, Strategic Asset Management</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Work ongoing with Vertex (Europa) to develop a revised Service Level Agreement.</li> <li>– Asset Management Plan (AMP) developed Dec 2010 and submitted/agreed by Cabinet Feb 2011.</li> <li>– Client operation covered in AMP and action plan. Client operation to be set up under Director of Finance and Corporate Governance.</li> <li>– Property use implications incorporated in Service Plan template. Services to compile and complete plans Jan 2010 to Mar 2011.</li> <li>– Reference to existing Local Development Framework contained in AMP.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Produce revised SLA to establish a consistent service level to be delivered by Vertex (Europa) by Apr 2011.</li> <li>– Service Plans including Property Use Implications to be completed Mar 2011.</li> <li>– AMP and action plan to be reviewed to pick up on any changes to revised LDF.</li> </ul>
	<b>40</b>	<p><b>Deliver Savings &amp; Efficiencies (risk)</b> Failure to develop and agree robust and effective plans that look at different ways of working/delivering savings to bring about savings and efficiencies leads to non-achievement of savings for 2011/12 to meet the funding gap in the Medium Term Financial Strategy.</p> <p>And/or</p> <p>Lack of effective plans to inform and involve key stakeholders on the proposals to bring about savings and efficiencies leads to poor consultation and poor stakeholder views about the Council and its Services.</p> <p><b>Lead Directorate:</b> Change &amp; Improvement <b>Lead Officer(s):</b> Richard Waterhouse, Director of Transformation.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Savings proposals for 2011/12 that do not have to be referred to Council agreed by Cabinet Nov 2010.</li> <li>– Alternative savings proposal – changes to 2011/12 savings proposed at Council Mar 2011. Councillors decided not to take some of the savings previously agreed, but to take alternatives.</li> <li>– Ongoing work to develop a joint transformation programme with Vertex and the Corporate Programme Team to target savings for 2012/12 and beyond.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Ongoing work to develop a joint transformation programme with Vertex and the Corporate Programme Team to target savings for 2012/12 and beyond.</li> </ul>

<b>Priority 3 (CI)</b>	<p><b>46a</b></p> <p><b>TTGDC to Become Absorbed Into the Council (opportunity)</b></p> <p>The Government has reviewed the options for the future management of the TTGDC functions in line with the localism agenda and announced that the DC would cease operation from 1st April 2012 and become part of the Council.</p> <p>The merger of the TTGDC functions into the Council will lead to more local control over regeneration and the operation of planning responsibilities &amp; provide the potential to strengthen the Council's capacity to drive regeneration &amp; the growth agenda.</p> <p><b>Lead Directorate:</b> Change &amp; Improvement  <b>Lead Officer(s):</b> Richard Waterhouse, Director of Transformation. Liz Beadle, Change &amp; Improvement Manager.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- At Dec 2010 meeting of the Localisation Board it was agreed that the Development Corporation would move to the Civic Offices as own entity for the 1<sup>st</sup> Apr 2011.</li> <li>- Existing project focussing in the integrated option ceased Dec 2010.</li> <li>- New project to replace existing set up by the Development Corporation Dec 2010. Governance and project arrangements established.</li> <li>- Lease and licence for floor space at Civic Offices 1 agreed between the Council and the Development Corporation Feb 2011.</li> <li>- Localisation board established and meeting regularly, headed up by the Department of Communities and Local Government (CLG).</li> <li>- Ongoing discussions with CLG over the financial and human resource that will be transferred to the Council on 1<sup>st</sup> April 2012</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Development Corporation move to Civic Offices 1 Apr 2011.</li> <li>- Ongoing discussions with CLG over the financial and human resource that will be transferred to the Council on 1<sup>st</sup> April 2012.</li> </ul>
	<p><b>46b</b></p> <p><b>Capacity to Deliver the Regeneration Agenda (risk)</b></p> <p>The Government has reviewed the options for the future management of the TTGDC functions in line with the localism agenda and announced that the DC would cease operation from 1st April 2012 and become part of the Council.</p> <p>Lack of capacity within the Council to absorb or provide the functions being handed to the Council by Government, without the provision of an appropriate level of funding from CLG, would lead to a breakdown in the delivery of the regeneration and growth agenda.</p> <p><b>Lead Directorate:</b> Change &amp; Improvement  <b>Lead Officer(s):</b> Richard Waterhouse, Director of Transformation. Liz Beadle, Change &amp; Improvement Manager.</p>	

Priority 3 (CI)	52	<p><b>Budget Shortfall 2011/12 (risk)</b>  The Council faces a challenging budget for the financial year ending 31<sup>st</sup> March 2012 with the impact of reductions in public spending, recession and weak economy.</p> <p>The Council fails to develop effective plans to manage the position and leads to overspends, financial difficulties, service pressures and a breakdown in the pursuit of the Council's priorities, resulting in customer dissatisfaction with service delivery and performance.</p> <p><b>Lead Directorate:</b> Finance &amp; Corporate Governance  <b>Lead Officer(s):</b> Sean Clark, Head of Corporate Finance.</p>	<p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Monthly monitoring of critical budgets from Apr 2011.</li> <li>– Further develop monthly budget monitoring reports to maintain focus on high value/high risk areas Apr 2011 onwards.</li> <li>– Continue with austerity measures.</li> </ul>
Priority 4 (BII)	28	<p><b>Royal Opera House, Purfleet (opportunity)</b>  Thurrock Council in partnership with the Royal Opera House, Arts Council of East England, TTGDC &amp; EEDA are planning to establish the Royal Opera House Production Campus and National Skills Academy at the High House Site, Purfleet. The campus and skills academy will lead to improved skills and job options for the local community and raise the profile of the area.</p> <p><b>Lead Directorate:</b> Sustainable Communities  <b>Lead Officer(s):</b> Richard Waterhouse, Director of Transformation.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– National Skills Academy – Planning and design works in progress.</li> <li>– Education &amp; Community Engagement – New programme of events commissioned for 2011 will tie in with Council events including 75<sup>th</sup> Anniversary.</li> <li>– Ongoing monthly meetings of communications group to monitor and report progress and developments.</li> <li>– TTGDC proposal to form Charitable Trust for the High House Production Park (HHPP) agreed by Cabinet in Jan 2011 but subject to some conditions.</li> <li>– Development of business strategy/plan to maintain stability of the production park in the medium to long term in progress. TTGDC in collaboration with the Council working to identify tenants/developers.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– National Skills Academy – Finalise planning and design works/ commence construction.</li> <li>– Ongoing monthly meetings of communications group to monitor and report progress and developments.</li> <li>– TTGDC proposal to form Charitable Trust for the High House Production Park agreed by Cabinet in Jan 2011 but subject to some conditions.</li> <li>– Charitable Trust proposal for HHPP to be considered by TTGDC Board Mar 2011 and if agreed a submission to the Charities Commission will follow.</li> <li>– Ongoing work between the TTGDC and Council to identify tenants/developers for HHPP.</li> </ul>



44	<p><b>Multi Functional Devices (opportunity)</b> The proposal to develop a print strategy with a primary focus of installing Multi-Function Devices (MFDs) to handle all local printing/photocopying requirements and replace existing locally housed printers and copiers. This will lead to major savings through reduction in the stock of equipment, the elimination of purchase/lease costs of equipment, improved functionality, reduced toner costs, reduced energy cost and lower maintenance cost. <b>Lead Directorate:</b> Change &amp; Improvement <b>Lead Officer(s):</b> Richard Waterhouse, Director of Transformation, Liz Beadle, Change &amp; Improvement Manager.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Gate 4 business case for developed Feb 2011 for project approval, award of contract and implementation.</li> <li>– OGC Buying Solutions RM450 Framework adopted Sept 2010 for the procurement of project.</li> <li>– Evaluation criteria for contract set Sept 2010.</li> <li>– Seven suppliers on framework invited to submit proposals Sept 2010.</li> <li>– Four of the seven submitted proposals and evaluated against the framework.</li> <li>– Two of four shortlisted for the Proof of Concept and Trials stage.</li> <li>– Proof of Contract and Trials stage undertaken Nov – Dec 2010.</li> <li>– Evaluation of final proposals submitted against criteria following Proof of Contract and trials stage.</li> <li>– Recommendations for the award of contract submitted to Cabinet Feb 2011.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Award of Contract</li> <li>– Supplier and Council’s project manager to liaise with Services to develop implementation plan.</li> <li>– Develop communication and engagement programme to ensure awareness and involvement of services throughout roll out.</li> </ul>
50	<p><b>Primary School Standards</b> Early years and primary school standards remain static and/or do not improve leading to poor outcomes for pupils, diminished subsequent educational attainment and non achievement of the Council’s objective to improve the education of younger children. <b>Lead Directorate:</b> Children Education &amp; Families <b>Lead Officer(s):</b> Carmel Littleton, Interim Head of Learning and Universal Outcomes</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Strategic leader for school improvement, learning and skills appointed with track record of improving attainment in secondary schools.</li> <li>– Progress on reported to Children’s Overview and Scrutiny Feb 2011.</li> <li>– Six target schools identified and intervention put in place from Jan 2011 to ensure maximum impact on the highest number of learners.</li> <li>– LAA reward funding identified Jan 2011 for one year to second expert practitioners to support underachieving schools.</li> <li>– Draft primary attainment strategy developed and agreed at Children Education &amp; Families DMT. Strategy discussed in partnership with schools.</li> <li>– Governance improvement action plan for primary schools drafted and agreed with Director of CEF and Portfolio Holder Dec 2010.</li> <li>– Leadership strategy developed in association with National College for School Leadership and has reduced the number of temporary arrangements by half.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Continue intervention at the six target schools identified.</li> <li>– Use LAA reward funding to second expert practitioners to support underachieving schools.</li> <li>– Continue to liaise with schools to develop progress primary attainment strategy.</li> <li>– Deliver Every Child programmes in targeted schools.</li> <li>– Continue to strengthen permanent leadership and management arrangements.</li> </ul>



<b>Priority 5 (CII)</b>	<b>20</b>	<p><b>Carbon Management Funding (risk)</b>  Thurrock Council has signed up to the Carbon Trust's Local Authority Carbon Management Programme. The work on this programme contributes to the Council's overall strategy for Climate Change and its commitments under the Nottingham Declaration. Failure to develop robust project plans to meet the carbon saving target leads to a breakdown in the programme and/or funding arrangements, resulting in non-achievement of the carbon saving targets under the Nottingham declaration.</p> <p><b>Lead Directorate:</b> Sustainable Communities  <b>Lead Officer(s):</b> Andrew Millard, Head of Strategic Planning and Delivery. Clare Lambert, Sustainable Development Manager.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– ECC commissioned to undertaking audit of works and developing business case for resource to fill funding gap. Carbon Reduction Recycling Payments to be used to fund resource.</li> <li>– Energy Management Steering Group set up and terms of reference and work programme to be established.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Present business case for resource to fill funding gap to Directors Board Apr 2011.</li> <li>– Directors Board to be made aware of the potential financial penalties if the Council does not comply with the legislation.</li> <li>– Establish terms of reference and work programme for Energy Management Steering Group.</li> </ul>
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Priority 5 (CII)	35	<p><b>Performance Management (risk)</b>  Managing performance across the Council is not consistent and leads to a breakdown in the development of a performance management culture and the delivery of service and performance improvements.</p> <p><b>Lead Directorate:</b> Change &amp; Improvement  <b>Lead Officer(s):</b> Chris Stephenson, Corporate Performance Improvement Manager.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- Sustainable Community Strategy (SCS) reviewed Nov 2010. Vision and priorities remain and objectives updated.</li> <li>- Recommendations and proposed timetable for area working methodology/area matrix management reported to Cabinet Jan 2011. Phase implementation of recommendations agreed.</li> <li>- Corporate Plan, MTFS &amp; Capital Strategy drafted and reported to Cabinet Feb 2011.</li> <li>- Asset Management Strategy and People/Organisational Development Strategy drafted and reported to Cabinet Dec 2010.</li> <li>- Role of Performance Board reviewed and new performance management arrangements introduced Oct 2010 onwards. Monthly Performance report issued to Directors Board.</li> <li>- Corporate Balance Scorecard – Balance Scorecard approach agreed at Strategy Week 1 Nov 2010. Corporate Balance Scorecard developed in conjunction with Heads of Services and Performance Board. Suite of indicators established to performance manage the Corporate Plan and key strategies.</li> <li>- Service Planning – Service planning template developed in conjunction with Performance Board representatives and Sustainable Communities.</li> <li>- Service Planning guidance issued to Directors, HoS and PB reps Feb 2011.</li> <li>- Service Scorecards and Service Planning covered in Strategy Week 2 Jan 2011.</li> <li>- Restructure of Performance Team completed.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Ongoing Monthly Performance Reports to Directors Board.</li> <li>- Quarterly</li> <li>- Corporate Balance Scorecard to be reported to Cabinet Mar 2011.</li> <li>- Service Plans (including SCs) to be completed by end of Mar 2011.</li> </ul>
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<b>Priority 5 (CII)</b>	<b>37</b>	<p><b>Procurement and Contract Management (risk)</b>  Procurement practices across the Council are not consistent and lead to poor commissioning of services in some areas of the Council. And/or Contract management arrangements across the Council are not consistent. Expected outcomes from key contracts are not achieved.</p> <p><b>Lead Directorate(s):</b> Change &amp; Improvement  <b>Lead Officer(s):</b> Richard Waterhouse, Director of Transformation. Nigel Byatt, Head of Business Services.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Initial analysis of high spend areas undertaken and initial proposals of short, medium and longer term savings identified and reported to Procurement Efficiency Board. Identified that an upgrade to Oracle software required carrying out the full analysis and proposal for upgrade to be presented to Directors Board.</li> <li>– Issues identified in default notice addressed by Vertex. Head of Procurement recruited Feb 2011 and focusing on driving VfM, review of contract to drive greater value and review of key performance indicators for procurement. Default notice withdrawn by Council Feb 2011.</li> <li>– Investigations for shared service/resource for procurement commenced. Initial discussion carried out with Southend Borough Council.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Proposal for Oracle software upgrade to be presented to Director Board to allow full analysis of high spend areas to identify potential savings.</li> <li>– Ongoing review of Procurement to identify proposals for improvement from Feb 2011.</li> <li>– Continue discussion with Southend Borough Council on potential shared service/resource for procurement.</li> </ul>
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**Low Carbon Business Programme (risk)**

Thurrock Council is the Accountable Body for the Thames Gateway South Essex wide 'Leading a Low Carbon Business Programme' which commenced in October 2009 and finishes on 30 June 2013. The programme is funded by the East of England European Regional Development Fund (ERDF) and 9 partners including 5 local authorities, TTGDC, TLEA, Groundwork South Essex and NISP. Funding arrangements are as follows:

- £2.5 million ERDF contribution
- £1.7 million funding from partners
- £2.07 million funding to be leveraged from private sector partners

Groundwork South Essex is a key partner with responsibility for the day-to-day delivery and management on behalf of Thurrock Council and all partners.

Failure to develop robust management arrangements for the programme leads to a breakdown in the delivery of the project and leaves the Council open to criticism and financial penalties as the Accountable Body for the programme.

There is a comprehensive risk analysis available for the programme.

**Lead Directorate:** Sustainable Communities

**Lead Officer(s):** Andrew Millard, Head of Strategic Planning and Delivery. Clare Lambert, Sustainable Development Manager.

**In Last Quarter:**

- Green Economic Development Officer recruited on a short term contract for the delivery of the grant funded programme until Mar 2011.
- Grant Funded Agreement between the Council and Groundwork South Essex (GWSE) drafted.
- The Council and GWSE are reviewing the programme, staff duties, performance and requirements to develop Programme Management Team arrangements.
- East of England Development Agency (EEDA) Project Engagement Visit (PEV) audit conducted Feb 2011. Initial feedback extremely positive with no significant risks or concerns identified.
- Monthly performance meetings between the Council and GWSE to monitor performance, assess strategies and manage risks.
- Re-negotiation of budget with EEDA - EEDA have put forward a revised offer Feb 2011 and the Legal Team are currently reviewing the offer. GWSW finance resources are also performing an informal audit of the position.
- Work ongoing to develop programme management processes/procedures to control the Low Carbon Programme. Grants strand of programme agreed with EEDA Dec 2010. Finance instructions for the programme submitted to EEDA Feb 2011. EEDA identified the Thurrock Grant Manual and associated processes as best practice and to adopt across the ERDF programme.
- Green Business Partnership (GBP) scrutiny of progress against the Work Plan undertaken on a bi monthly basis. Review of programme level work plan to be undertaken to consider the impact of CSR/Financial constraints.
- Correspondence outlining last year programme and commitments for 2011/12 sent to all partner Chief Executives Jan 2011.
- Reimbursement of payment of expenditure incurred – All payments to date have been made. Quarter 4 2010 submitted to EEDA Jan 2011.
- Feedback from Internal Audit review of programme identified no major risks.
- Ongoing internal management control checks undertaken by the Council programme management team to ensure that any operational risks are identified and managed.

<b>Priority 5 (CII)</b>			<p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- GWSE Board to sign of final Grant Funded Agreement.</li> <li>- Review of programme and revised Programme Team arrangements agreed by the Council and GWSW.</li> <li>- EEDA full compliance requirements to be identified by the programme compliance officer and to be incorporated into programme manual. Mar 2011.</li> <li>- Ongoing Monthly performance meetings between the Council and GWSE to monitor performance, assess strategies and manage risks.</li> <li>- Re-negotiation of budget with EEDA - Council and GWSE to respond to EEDA</li> <li>- Finalise programme management processes/procedures to control the Low Carbon Programme.</li> <li>- GBP to produce a new programme level work plan. New programme level work plan will secure commitment from partners to ensure delivery over the next financial year.</li> <li>- Establish revised programme and delivery schedule from all partners.</li> <li>- Develop a revised work plan for Thurrock in line with all partner delivery reviews</li> <li>- Ongoing internal management control checks undertaken by the Council programme management team to ensure that any operational risks are identified and managed.</li> </ul>
	<b>41</b>	<p><b>Strategic Services Partnership (risk)</b>  The change in Local Government ethos and current financial circumstances facing the Council due to reduced funding from the Government is putting pressure on the scope and expectation from the partnership. The partnership fails to deliver on Vertex or the Council's expectations.  <b>Lead Directorate:</b> Change &amp; Improvement  <b>Lead Officer(s):</b> Nigel Byatt, Head of Business Services.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- Initial set of change projects, which were identified by Board of Council and Vertex representatives commenced and in progress (e.g. MFDs, Stationery).</li> <li>- Overview of contract and update of original agreement discussed at Vertex Partnership Management Board Nov 2010.</li> <li>- Meetings ongoing between the Council Chief Executive and Vertex Chief Executive to discuss the review of the partnered services performance and opportunities for change.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Ongoing work to deliver initial change projects and to consider new projects.</li> <li>- Ongoing review of contract and agreement by Vertex Partnership Management Board.</li> <li>- Ongoing meetings between Council Chief Executive and Vertex Chief Executive to discuss the review of the partnered services performance and opportunities for change.</li> </ul>

<b>Priority 5 (CII)</b>	<b>43</b>	<p><b>Change Management (risk)</b> The Government has reduced funding to Local Authorities. Thurrock Council, like local authorities across the nation will need to make major changes to the way it works and take a range of actions to achieve savings, including potential cuts in service and job losses.</p> <p>Failure to manage the People and Communication elements of the Change Programme leads to low levels of engagement with staff and results in staff dissatisfaction, low morale, low productivity, employment relations issues and low retention rates and potential difficulties in recruiting staff if the Council's reputation as an employer is damaged.</p> <p><b>Lead Directorate:</b> Change &amp; Improvement <b>Lead Officer(s):</b> Jackie Hinchliffe, Head of HR, OD &amp; Customer Strategy, Phil McCusker, Communications Manager.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Programme of change management training for managers and staff developed and run from Jan 2011.</li> <li>– Support information for managing people aspect of change developed by Vertex. Support information provided via InForm Feb 2011.</li> <li>– Ongoing monitoring of sickness through monthly Management Information pack and corporate performance report.</li> <li>– Ongoing meetings with Trade Unions</li> <li>– Draft organisational Development Strategy presented to Cabinet Dec 2010.</li> <li>– Lets Talk Campaign – Further event run in Tilbury Mar 2011.</li> <li>– Outcome of consultations (e.g Let's Talk Campaign, Adult Social Care consultation exercise) reported to Cabinet Oct 2010 and incorporated in final proposals presented to Cabinet/Council Nov 2010.</li> <li>– Ongoing local media briefings</li> <li>– Managers Conference, Leading Reputation Improvement Dec 2010.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Develop single delivery plan for cross cutting items contained in key strategies (e.g. Community Engagement, OD, Customer and Communications).</li> </ul>
	<b>47</b>	<p><b>Community Leadership Capacity (risk)</b> Failure to build capacity to develop the Community Leadership role leading to an uncoordinated and ineffective approach to engagement, resulting in poor engagement with stakeholders to identify and address the key priorities for neighbourhoods and the borough.</p> <p><b>Lead Directorate:</b> Change &amp; Improvement <b>Lead Officer(s):</b> Leroy Richards, Policy Officer, Tasnim Shawkat, Head of Legal Services</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>– Recommendations and timetable for delivery of local area working reported to Cabinet Jan 2011. Phased implementation of recommendations agreed.</li> <li>– Overview and Scrutiny Task &amp; Finish Group to review the Community Engagement Strategy.</li> <li>– E-Consultation Portal – Configuration workshops for staff run Oct 2010. Configuration workshops for members/senior managers run Jan 2011. E-Petitions workshop run Nov 2010. E-Consultation Portal launched Nov/Dec 2010.</li> <li>– Templates for ward level profiles under development.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>– Further work to develop the engagement strategy.</li> <li>– Commence roll out E-Consultation Portal across the Council.</li> <li>– Identify resource for in house training for the ECP.</li> <li>– Training for staff around communications and perceptions to support officers in their day to day contact with residents to be considered.</li> <li>– Develop ward level profiles in readiness for area based working.</li> </ul>



Priority 5 (CII)	48	<p><b>International Financial Reporting Standards (risk)</b></p> <p>The Council are to prepare IFRS compliant accounts for 2010/11 with full comparative data from the 1<sup>st</sup> April 2009. This will involve restatement of the 2009/10 accounts and revised accounting policies and practices for 2010/11 accounts in accordance IFRS.</p> <p>Lack of capacity to manage the transition to IFRS will lead to a breakdown in the delivery of the new arrangements, additional resource to rectify or to put the work back on track and the potential of a qualified audit opinion if the requirements are not implemented.</p> <p><b>Lead Directorate:</b> Finance &amp; Corporate Governance  <b>Lead Officer(s):</b> Sean Clark, Head of Corporate Finance, Meinir Hall, Group Finance Manager.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- Accrued Employee Absences – Value of undertaken for 09/10 established.</li> <li>- CIPFA guidance issued Dec 2010.</li> <li>- Work to review the leases for all property, plant and equipment in progress.</li> <li>- Review of contracts carried out as part of the work to identify the finance leases that under the code of practice will need to be incorporated in the asset register and balance sheet.</li> <li>- Valuations of land/buildings to identify the RFIS categories they fall under completed Feb 2011.</li> <li>- Initial restatement of the 2008/09 balance sheet completed by the Group Finance Manager, Financial Reporting.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Accrued Employee Absences - .</li> </ul>
	53	<p><b>Emergency Planning &amp; Response (opportunity)</b></p> <p>Lack of capacity to produce/maintain plans to deal with major incidents that have the potential to cause significant harm/loss to the stakeholders of Thurrock.</p> <p>and/or</p> <p>Lack of capacity in the Council to respond to major incidents.</p> <p>Leading to a breakdown in the Council's emergency preparedness/ response arrangements and results in poor support to the multi agency approach for dealing with an emergency</p> <p><b>Lead Directorate:</b> Sustainable Communities  <b>Lead Officer(s):</b> Lucy Magill, Head of Public Protection.</p>	<p><b>In Last Quarter:</b></p> <ul style="list-style-type: none"> <li>- Business case to fill temporary resource gap in Civil Protection team submitted to Directors Board Feb 2011. Interim employed to maintain capacity from Feb 2011.</li> <li>- Initial review of work programme completed and identified that Major Incident Plan (MIP) needs to be updated. Interim resource focussing on updating MIP from Feb 2011.</li> </ul> <p><b>Milestones next quarter:</b></p> <ul style="list-style-type: none"> <li>- Continue to update MIP.</li> <li>- Review of the Council's capacity to provide required level of response in the event of an emergency to be undertaken as part of the update of the MIP.</li> </ul>