



## Strategic/Corporate Risk & Opportunity Register Quarter 4 2012/13



### Risks and Opportunities In Focus

The following risks/opportunities have been identified as the In Focus items for the quarter by Directors Board & Performance Board. The items are separated between risk and opportunity and listed in priority (rating) order and then numeric order.



## Risks In Focus



## Corporate Risk 4 - ICT Infrastructure

Description					Lead Officer	Date Identified	Target End Date
ICT Infrastructure - The Councils current ICT systems and processes are not optimal, based upon outdated, inefficient legacy devices and processes leading to a stifling of service delivery improvements, lack of flexibility for transforming our business processes and poor business continuity timelines. The Council will not be able to deliver business and customer needs and reap the benefits in efficiencies which better, more flexible ICT enables to drive down costs.					Nigel Byatt	15/01/13	30/09/15
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	90					<b>RED</b>
Impact	Critical	Critical					
Likelihood	Very High	High					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action					Assurance on Controls or Actions		Residual Rating 31/03/13
1. The implementation of the Oracle ERP solution for Financial Management HR and Payroll and Procurement services together with Business intelligence reporting should be completed by April 2013, this will produce a substantial improvement in corporate reporting and information availability,					1. Managed through an Oracle ERP project Board		90
2. ICT initiatives being developed and delivered as part of the Corporate transformation programme will provide systems capable of supporting business requirements and initiating (e.g. Flexible and mobile working) solutions that provide savings and service improvement.					2. Managed through the Transformation Board and CISD infrastructure.		
3. Review of ICT Strategy commenced October 2012 to align it to transformation and business need. Review of the ICT Strategy scheduled to be completed by February 2013.					3. Managed through CISD and Transformation Boards.		
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions		Target R/O Rating
4. Individual service transformation projects to support and drive ICT change in line with business requirements from/during 2013/14 (e.g. Housing).					4. Individual Project Boards and Transformation Board.		60



## Corporate Risk 8 - Transformation Programme

Description					Lead Officer	Date Identified	Target End Date
Failing to Deliver the Transformation Programme: The Transformation Programme does not make its savings target as defined by the 2013/14 Budget (£4.35million) and the MTFS. This leads to savings having to be made by other means, including service cuts and/or savings from contingencies/reserves, which would potentially be fairly late in the planning cycle. This could lead to service disruption and further pressures on the organisation's capacity to deliver the necessary changes in time.					Jackie Hinchliffe	15/01/13	31/03/14
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	90	90					<b>RED</b>
Impact	Critical	Critical					
Likelihood	High	High					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions			Residual Rating 31/03/13
<p>1. Opportunities to deliver 2013/14 Transformation savings have been identified and agreed through Cabinet and O&amp;S process in October / November 2012.</p> <p>2. 5 Programme themes identified. Each theme managed under the stewardship of a Programme Manager tasked with accountability to ensure programme and associated projects realise efficiencies.</p> <p>3. Business cases to realise 2013-14 savings are under development and will be considered in February 2013 for go decisions.</p> <p>4. Resources requirements and capacity to deliver identified and built into overall business cases and programme management.</p>				<p>1. Overview and oversight of business case development through Programme Manager and PMO function</p> <p>2. Overview and oversight of programme objectives and deliverables through Transformation Board</p> <p>3. Monthly budgetary reports to Cabinet reporting on Transformation Savings realization.</p>			90
Target Risk / Opportunity							
Further Controls or Action				Assurance on Controls or Actions			Target R/O Rating
5. Following agreement of business cases in Feb 2013 the Transformation Board (comprising of Cabinet Member and Directors) to monitor progress against the business cases, programme and savings.				5. Monthly monitoring of business cases, programme and savings			60



## Corporate Risk 9 - Adult Social Care, Cost and Quality Standards

Description					Lead Officer	Date Identified	Target End Date
Balancing the cost of care and maintaining minimum quality standards - Risk that: combination of the following ongoing pressures -: a significant failing of a current provider, transitional homecare provision arrangements in lieu of contract award, significant and continued pressures on hospital A&E and periods of 'black alert', market wide decrease in number of carers due to ongoing poor employment conditions, ongoing issues in providing temporary care staff through local framework agreement and continued economic pressure on care providers, leads to a drop in care quality and standards and failure of providers to maintain basic or minimum standards for service users. Ultimately results in risk to service users health, reputational damage to the council and increased costs in managing escalated care and health needs and council intervention as a result.					Les Billingham	18/01/13	30/04/14
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	90					RED
Impact	Critical	Critical					
Likelihood	Very high	High					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action					Assurance on Controls or Actions	Residual Rating 31/03/13	
1. Contract compliance monitoring and audit function in operation across externally provided services 2. Unannounced (including out of hours) monitoring visits (as required on risk-proportionate basis) 3. Contract specifications for externally provided services in place include performance and outcomes requirements and minimum quality standards to be met 4. Quarterly information sharing meetings with Care Quality commission (CQC) to identify and share concerns/risks. 5. Focus on development and use of alternative care provision to residential (ongoing strategy e.g. intermediate care and re-ablement provision) 6. Review out of borough placements where Thurrock does not have the same level of control over contract compliance scrutiny as in borough. 7. Identify a 'fair price for care' – council to work with region to establish common approach. Ongoing from Apr 2012 8. Establish minimum quality standards across services to be achieved regardless of cost – part of regional contract standard work that Herts CC are leading on. Ongoing from April 2012. To be implemented in Thurrock through contract specs and provider quality framework. From April 2013. 9. Ongoing price negotiation work to achieve a fair price on high-cost placements. From April 2011 10. Market shaping and development of alternative provision for those with complex needs e.g. extra-care 11. Budget / growth strategy (strategy for future funding of care provision. To be incorporated into Market Position Statement. From April 2013 12. Provision of a 2% inflationary increase for providers. From Dec 2012 13. Increased staff availability through use of over-time and bank arrangements. From Dec 2012 14. All providers reviewed service users and priority-ranked to assist support prioritization in event of lack of carers. From Dec 2012					1. Contract visit records 2. Provider action plans 3. Correspondence with CQC and providers 4. Monitoring and user satisfaction data 5. Meetings with care providers. Adult Safeguarding Board monitoring and minutes 6. Service user reviews 7. Regular monitoring by council and CQC 8. Regional monitoring through regional improvement boards and DASS group 9. Monitoring of costs and placements to assess the impact of price negotiation	90	
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions	Target R/O Rating	
15. Review the business continuity plan for adult social care to ensure this is up to date and sufficient in light of the risk. From Dec 2012 16. Prepare for the potential for Thurrock to take emergency action, if required and notify CQC accordingly. From Dec 2012 17. Development and implementation of a 'step-up to care' training programme for non-care staff to act in emergency. From Dec 2012 18. Prioritisation of the rapid response assessment service to manage emergency calls and ease pressure on hospital admissions and residential care admission. From Jan 2013 19. Covering issues of provider capacity with spot-purchase of resource from other agencies to cover care calls. From Jan 2013						80	



## Corporate Risk 11 - Business Continuity

Description					Lead Officer	Date Identified	Target End Date
Failure to maintain the co-ordination of Business Continuity Planning across the Council would lead to the business continuity management arrangements across the Council becoming outdated and ineffective in times of a disruption effecting Thurrock.					Gavin Dennett	23/01/13	31/12/13
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	90					<b>RED</b>
Impact	Critical	Critical					
Likelihood	Very High	High					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action					Assurance on Controls or Actions	Residual Rating 31/03/13	
<p>1. A corporate Business Continuity (BC) Plan and service specific plans established – by October 2011.</p> <p>2. Arrangements for coordinating business continuity across the Council reviewed following the departure of the Business Continuity Officer in Nov 2011. Roles within the Emergency Planning (EP) Team reviewed and redesigned and an officer identified to take forward business continuity work – Dec 2011 to Jan 2013.</p> <p>3. Ongoing review of Business Continuity arrangements for services – All Heads of Service reminded Jan 2012 to review/update business continuity plans. The EP team has worked with services to review plans and approximately 97% updated – June 2012 to Jan 2013.</p>						90	
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions	Target R/O Rating	
<p>4. Development and implementation of arrangements to review the validity of service continuity arrangements. Directorates to review the validity of service BC plans by March 2013.</p> <p>5. Development and implementation of testing programme to test directorate/department BC arrangements – by Sept 2013</p> <p>6. Review of Corporate BC planning arrangements – from March 2013</p> <p>7. Development of EP Service Plan 2013/14-16 – by end of March 2013.</p> <p>8. Regular review of Emergency Planning/Business Continuity service, team and staff arrangements - June 2013</p>						60	



## Corporate Risk 13b - Purfleet Regeneration Project

Description				Lead Officer	Date Identified	Target End Date	
Complex and costly land acquisition including potential use of CPO powers, identifying and agreeing the appointment of a development partner, securing and implementing planning permission are all fundamental to the success of the project.				Matthew Essex	18/01/13	30/06/14	
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	90					<b>RED</b>
Impact	Critical	Critical					
Likelihood	Very High	High					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions	Residual Rating 31/03/13		
<p>1. Land Assembly – Approx 55% of the required land acquired and is managed by the assets team. Cabinet Nov 2011 agreed a first resolution to commence compulsory purchase order (CPO) process for the remaining site. Negotiations with remaining owners continue and managed by CBRE (property &amp; real estate adviser). CBRE available to advise on CPO strategy, negotiations and valuations as required.</p> <p>2. Procurement of development partner – Cabinet consent to re-procure using competitive dialogue process agreed June 2012. OJEU process ongoing with shortlisted parties from June 2012</p>				<p>1&amp;2. CEDU managing project and reports regularly to the Assistant Chief Executive and Portfolio Holder.</p> <p>2. Officer Programme Board overseeing procurement process with oversight from Cabinet Portfolio Holder.</p>	90		
Target Risk / Opportunity							
Further Controls or Action				Assurance on Controls or Actions	Target R/O Rating		
<p>3. Complete Land Assembly – Cabinet to consider and agree a second resolution if the council is to CPO the land not acquired through negotiation – by June 2013. Process will require funding for land acquisition, compensation and fees.</p> <p>4. Outline Planning Application – Outline planning application considered by Planning Committee Dec 2012. S106 agreement to be completed in due course.</p> <p>5. Determine Primary School funding – Agreed by Cabinet Dec 2011 to build a provision in the MTFS to fund a new school in Purfleet to support the project.</p> <p>6. Project implementation. This will be phased and follow confirmation of a CPO. Site clearance/demolition is presently programmed to begin Q2 2014.</p>				<p>3-6. CEDU managing project and reports regularly to the Assistant Chief Executive and Portfolio Holder.</p>	60		



## Corporate Risk 31 - Children's Social Care

Description					Lead Officer	Date Identified	Target End Date
Failure to manage the increases in demand and budget/resource pressures for Children Social Care services could lead to a breakdown in the quality or performance of the social care service provided to vulnerable children and results in less favourable outcomes from inspection and damage to reputation if the service does not meet the required standards.					Barbara Foster	07/02/13	31/03/14
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	90	90					<b>RED</b>
Impact	Critical	Critical					
Likelihood	High	High					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action					Assurance on Controls or Actions	Residual Rating 31/03/13	
<p>1. Planned reductions to the establishment implemented from August 2010 onwards to achieve reductions in expenditure.</p> <p>2. Reduction in Service Managers undertaken in July 2011 to achieve in year savings.</p> <p>3. Reduction in social work staffing levels for looked after children undertaken in Dec 2011 to achieve in year savings.</p> <p>4. Work with Education from July 2011 onwards to develop 'Early Offer of Help Strategy' to meet the new the duty placed on Council's to coordinate an early offer of help to families who do not meet the criteria for social care services.</p> <p>5. Ongoing management review, reporting of services (e.g. resource and demand pressures) from February 2012, including:</p> <ul style="list-style-type: none"> <li>- Report on service including resource and demand pressures presented to Children's Overview &amp; Scrutiny Panel February 2012.</li> <li>- OfSTED Inspection of Children's safeguarding and children looked after provision – June 2012. OfSTED rated both services as good. The inspection also identified areas for improvement and recommendations based on these. Action plan to address areas for improvement developed/implemented by service and progress regularly monitored by senior management.</li> <li>- Internal quality assurance audits from Sept 2012 to evidence appropriate application of thresholds.</li> <li>- Analysis of national data in respect of child protection and looked after children to compare Thurrock with other councils and report of findings to Children's Overview and Scrutiny Committee.</li> <li>- In partnership with other Eastern Region authorities monitoring a Safeguarding Performance Dashboard which focuses on key service pressure areas.</li> <li>- Caseload allocation analysis - All teams monitor caseload allocation in terms of volume and complexity regularly (caseload allocation is a key indicator in the eastern region safeguarding dashboard).</li> </ul> <p>6. Phased implementation of 'Early Offer of Help Strategy' – from April 2012. Early Offer of Help Services agreement to proceed was given at Cabinet (Q3 2012) and contracts are at the point of being awarded - as at Jan 2013</p> <p>7. Business case/growth bid for resource submitted to Star Chamber and service pressures report including resource, demand, staffing and legislative considered by People Services DMT highlighting critical pressures and associated risks - August 2012.</p>					<p>1. Impact on Social Care Services of reductions in expenditure reported to Children's O&amp;S Committee 19<sup>th</sup> August 2010.</p> <p>4. Early Offer of Help Strategy report to Cabinet, via Director Board March 2012</p> <p>5. Management reviews and reporting to Overview and Scrutiny, as appropriate</p>	90	
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions	Target R/O Rating	
<p>8. Further analysis undertaken Q3 2012 into increased safeguarding and related activity and the associated service pressures and resource demands arising from this. The following actions were identified as steps to support proactive demand management and explore the scope for additional activity to clarify whether there is any unexplored potential to return children to care of their own families:</p> <p><b>(i) Greater insistence on fuller implementation of the Common Assessment Framework (CAF) process</b> – all cases should have had CAF involvement prior to acceptance by Social Care. Intention is for receiving teams to start requesting CAF with referrals – this is in the process of being implemented by the service as at Jan 2013.</p> <p><b>(ii) Widen use of Family Group Conferences (FGCs)</b> – wherever possible FGCs should be held prior to care as a standard procedure – the need for this will be further highlighted by CP Chairs to support Social Work teams – ongoing as at Jan 2013.</p>						80	



**(iii) Hold a summit with voluntary sector** to explore what more can we do together to maintain or return children to their own families. This follows informal communication in which some local organisations had expressed a commitment to be more active in this area of work. A date of 22 February 2013 has been planned for an initial meeting.

**(iv) Review of all cases for children aged 14+** - The head of service has chaired a panel to review the cases of a sample of looked after children aged 14+, to explore whether there are young people who could safely be returned to the care of their families. This reviewing exercise has been completed and to date (Jan 2013) has confirmed that, with the exception of 1 or 2 cases, where a return to home was already planned, the existing arrangements in terms of placement and care needs are appropriate. Positively, this additional scrutiny has validated existing processes rather than identified any failing.

**(v) Late entrants to care** – explore what more could be done for Looked After Children (LAC) and CP to anticipate and prevent late care entry. The focus will be all cases of YP who are vulnerable to losing places in homeless accommodation, or who are known to be a serious risk of exclusion from home by their parents – this work is in progress as at Jan 2013 with the first phase focusing on the most recent 20 children aged 14+ being scrutinised by senior management team



## Corporate Risk 29 - Delivery of MTFS 2013/14 to 2014/15

Description					Lead Officer	Date Identified	Target End Date
<p>The Council does not fully deliver the MTFS - A balanced budget is not maintained and the Council has to rely on contributions from reserves in either 2013/14 or 2014/15 and/or savings are not delivered to meet forecasted budget deficits.</p> <p>Both/either of these scenarios could lead to service overspends and Council wide financial pressures which would require additional, unplanned efficiencies to be made with potential service delivery/cuts impacts.</p>					M.Hone	07/02/13	31/02/15
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	80					RED
Impact	Critical	Critical					
Likelihood	Very high	Significant					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action					Assurance on Controls or Actions	Residual Rating 31/03/13	
<p>The corporate, service and resource planning framework:</p> <p>1. MTFS established February 2013. The Medium Term Financial Forecast (MTFF) is used throughout the year to project the budget deficit and collate growth and savings that impact on that deficit. Monthly reports to Directors' Board, Quarterly reports to Cabinet from April 2013.</p> <p>2. Directors' Board drives the process with a series of meetings to challenge assumptions, costs and performance. This includes:</p> <ul style="list-style-type: none"> <li>(i) Monthly meetings where progress is monitored and savings proposals sense-checked.</li> <li>(ii) Star Chamber meetings where a core team of the Leader, Chief Executive, Director of Finance and Corporate Governance and a backbench member challenges all portfolio holders with their respective officers;</li> <li>(iii) Quarterly Cabinet meetings where proposals are monitored; and</li> <li>(iv) Regular reports to Overview and Scrutiny Committees where growth and savings proposals are considered in more detail.</li> </ul> <p>3. DMTs are responsible for ensuring the austerity measures are adhered to. (e.g., FAST team not permitted to pay any invoices which have been processed without the correct authority).</p>					<p>1. Monthly reports to Directors' Board, Quarterly reports to Cabinet.</p> <p>2 (ii). Star Chamber led by the Leader of the Council, Chief Executive and Corporate Director of Finance and Corporate Governance – common templates for growth and savings. Working papers are held by the Corporate Finance Team.</p>	80	
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions	Target R/O Rating	
<p>4. Legislative changes to the Housing Revenue Account (HRA) financing model has resulted in increase revenue funds of around £6million a year for housing tenants and the service.</p> <p>There are two major opportunities:</p> <ul style="list-style-type: none"> <li>• Developing and facilitating new affordable housing stock for sale and rent; and</li> <li>• A capital programme that will transform existing stock for tenants.</li> </ul> <p>5. Business Rates Retention will allow the council to benefit from increases to the business rates paid in Thurrock through economic growth. Current guidance only allows for 29 per cent of this growth to be retained locally and the expected benefit has been built into the MTFF.</p> <p>The main cost pressures over the planning period include the need to find ongoing savings, delivering the planned savings and efficiencies from transformation, demographic-related pressures especially in the areas of children's and adults' social care and price increases in energy and other costs.</p> <p>6. The Transformation Board (chaired by the portfolio holder for Transformation and also comprising all members of DB) will meet monthly to ensure that planned changes to working and service delivery are achieved to timetable and that the associated savings in running costs are removed from relevant budgets.</p> <p>7. The Asset Management Strategy is now becoming embedded throughout the authority and an Asset Disposal Working Group, formed from both officers and members, meets throughout the year. Together with additional funding from Business Rates Retention, this will identify resources that can be used to support the transformation and regeneration programmes.</p> <p>8. The Council will make use of VFM comparator tools and benchmarking with other local authorities to ensure that its budget correctly reflects the true costs of demographic change and increases in costs.</p> <p>9. Annual refresh of the MTFS is part of the overall budget timetable.</p>					<p>4. A Housing Overview &amp; Scrutiny Committee was set up in 2012 to reflect the heightened importance of housing services in the Council's Corporate Plan from 2013 onwards.</p> <p>5. The potential for additional income from Business Rates to support revenue spending on day-to-day services or to provide the source of funding for prudential borrowing to increase investment in infrastructure will be kept under careful review by Directors' Board and Cabinet from April 2013 as the new scheme goes live.</p>	24	



## Corporate Risk 30 - Delivery of MTFS 2015/16 to 2016/17

Description				Lead Officer	Date Identified	Target End Date	
<p>The Council does not fully deliver the MTFS - A balanced budget is not maintained and the Council has to rely on contributions from reserves in either 2015/16 or 2016/17 and/or savings are not delivered to meet forecasted budget deficits.</p> <p>Both/either of these scenarios could lead to service overspends and Council wide financial pressures which would require additional, unplanned efficiencies to be made with potential service delivery/cuts impacts</p>				M.Hone	07/02/13	31/02/15	
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	80					<b>RED</b>
Impact	Critical	Critical					
Likelihood	Very High	Significant					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions			Residual Rating 31/03/13
<p>1. When preparing the MTF for the planning period 2013/14 to 2016/17 a clear objective was set to divide the plan into two – to move away from setting a one-year balanced budget to balancing both 2013/14 and 2014/15 in time for the budget Council meeting (February 2013).</p> <p>This creates the solid financial foundation for the second part – to identify the future shape and delivery mechanisms of the Council.</p> <p>2. The two-year balanced budget (for 2013/14 – 2014/15) has been achieved and officers, through the Transformation Board are now working on the shape of the Council in the post 2015 period.</p>				<p>1. The assurances will be carried out as part of the annual budget review and refresh of the MTFS outlined in the Risk/Opportunity template for 'Delivery of MTFS 2013/14 – 2014/15'.</p>			80
Target Risk / Opportunity							
Further Controls or Action				Assurance on Controls or Actions			Target R/O Rating
<p>3. In addition, a review of the Council's current approach to service delivery will be held in March 2013, involving members, senior management and relevant stakeholders to begin to determine the future shape of the organization post 2015. Inevitably, this review will lead to a project and associated work streams but at the time of writing these have yet to be determined.</p>							24



## Corporate Risk 25 - Statutory Equality Requirements

Description				Lead Officer	Date Identified	Target End Date	
The Equality Act 2010 creates a number of obligations aimed at promoting equality and improving the life chances of residents. The increase in hate crime, benchmarking arrangements and the Workplace Equality Index, which measures organizational improvement around equality all show increasing inequalities and decreased performance against the equality duty. Failure to adequately meet these responsibilities may lead to judicial review and legal challenge by residents and employees. The duty also requires the council to adopt an equality approach in shaping services or making any decision which affects either employees or service users. Failure to implement the requirement may undermine the council's ambition of meeting the needs to residents and service users.				S.DeAlyn	07/02/13	31/03/14	
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	80	80					RED
Impact	Substantial	Substantial					
Likelihood	Very High	Very High					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions			Residual Rating 31/03/13
1. The Corporate Equality Framework and Single Equality Scheme will ensure the necessary arrangements are in place to address the risk. Directors Board agreed scheme April 2010 and framework October 2011.				1. CEF and SES reported to Directors Board			80
2. Progress against the Single Equality Scheme for the Annual Equality Report collated from Heads of Service and draft completed – From Nov 2012 to Jan 2013.							
Target Risk / Opportunity							
Further Controls or Action				Assurance on Controls or Actions			Target R/O Rating
3. Annual Equality Report (statutory requirement) to set out how compliance with the duty has been met and plan for the further work identified to improve compliance. Report to full Council March 2013.				3. Report to Council via Directors Board and Corporate HR Equalities & Cultural Change board (CHRECC)			48
4. Implementation of actions of the Single Equality Scheme by Heads of Service/ Lead Officers. From April 2013 to March 2014.				4. Actions to be incorporated in appropriate Service Plans and progress monitored by Heads of Service			
5. Quarterly monitoring of the Implementation of all corporate equality plans by the Corporate Diversity and reported to CHRECC from June 2013.				5. Quarterly monitoring by CHRECC			
6. Regular/quarterly monitoring by Directors Board and Scrutiny Committee (Corporate Overview) from June 2013.				6. Quarterly reports to Corporate Overview and Scrutiny Committee via Directors Board.			



## Opportunities In Focus



## Corporate Opportunity 19a - Asset Management

Description					Lead Officer	Date Identified	Target End Date
<p>The Council's asset management plan and subsidiary Asset Management Delivery Plan outlines the Council's intention to continually review its property ownerships, only retaining those properties vital to meeting its key objectives. This presents an opportunity to use the financial benefits of the rationalisation of the asset base to achieve strategic outcomes as follows:</p> <ul style="list-style-type: none"> <li>To use the proceeds of the first £3m sales to repay existing borrowing, thus making revenue savings in support of the Medium Term Financial Strategy with effect from 2012/13</li> <li>To use the proceeds of further sales of surplus assets to;               <ul style="list-style-type: none"> <li>support the financing of a redesign of the Civic Offices, establishing that asset as the organisation's administrative hub, intensifying its use and supporting flexible working and</li> <li>to implement a programme of community hub development in the Council's communities, replacing the current mix of outdated single use buildings.</li> </ul> </li> </ul>					Ian Rydings	22/01/13	31/03/14
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	60	80					<b>RED</b>
Impact	Exceptional	Exceptional					
Likelihood	Low	Significant					
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action					Assurance on Controls or Actions		Residual Rating 31/03/13
<p>1. Establishment by Cabinet of a cross party Member Working Party (including Leader) to oversee individual property disposal decisions.</p> <p>2. Contract exchange on £0.79m sales for 2012/13 were achieved by December 2012 and a further (approx) £2.15m sales have been identified and have Cabinet approval. Efforts are being made to complete these sales by the end of financial year 2012/13, or as soon as possible after that time.</p>					<p>1. Twice yearly reporting to Cabinet of the recommendations of the Member Working Party, and on disposals progress.</p> <p>2. Continued focus on implementing sales identified and identifying further sales</p>		80
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions		Target R/O Rating
<p>3. Transfer back to Council of outsourced property management service (including valuations and disposal resource).</p> <p>4. The above will enable restructuring of asset management service and a focus on further opportunities e.g.</p> <ul style="list-style-type: none"> <li>review of commercial portfolio</li> <li>review of ancillary activity such as advertising, antenna, parking contracts/revenue.</li> </ul>					<p>3. Currently in commercial discussion with Serco/Europa.</p> <p>4. Assurance actions to be identified following transfer of affected service.</p>		100