

## Performance Appraisal for Lyn Carpenter, Chief Executive

### Objectives and Performance for April 2017 – March 2018

### Mid-Year Review 15 November 2017

<b>Objectives</b> (SMART = Specific, Measurable, Achievable, Relevant, & Time-bound)	<b>Performance</b>	<b>Rating 1-4 (see below)</b>
<ol style="list-style-type: none"> <li>1. Deliver the Council a balanced budget outturn in 2017/18 and prepare a proposed budget for 2018/19 through to 2020/21, 3 years, in line with the MTFS and Transformation Approach.                             <ul style="list-style-type: none"> <li>• To include the development of a financial self-sustainability model for the council which identifies key drivers, opportunities, demand pressures of the future and impact of the wider Place-making agenda on service delivery/cost.</li> <li>• Review, evaluate and propose as appropriate any national opportunities for Thurrock such as growth zones, business rate retention pilots or other relevant schemes.</li> <li>• Drive an authority culture around commerciality with the aim of all income generating activities which are discretionary achieving zero subsidy by 2020/21 based on the net contribution model.</li> <li>• Demonstrate delivery of budget proposals from 17/18 and ensure visibility of deliverability through relevant O and S/cabinet.</li> <li>• Commission and support an external Finance Peer Review to consider current process and procedures around the budget setting approach, review best practice and to present the findings back to council as soon as possible to inform 2018/19 budget setting process.</li> </ul> </li> </ol>	<ul style="list-style-type: none"> <li>• Positive progress is being made towards presenting a 3 year plan for financial self-sustainability, based around commercial investments and considering the impact of Place-making on housing numbers, business growth, council tax etc. The proposals are being shared through the CSR on a monthly basis.</li> <li>• Progress is being made in the shape of Vision 2050, a strategic approach for the South Essex corridor involving the 6 other authorities. This will lead to discussion on form and options for achieving the wider ambitions for Thurrock residents and the corridor. Aiming to have a vision by early 2018.</li> <li>• At Month 5, 17/18 budget showing a current overspend of £260k, a variance of 0.025%. On target to deliver a balanced budget by year end.</li> <li>• An external Finance Peer Review was commissioned through EELGA and was delivered in June 2017 involving members from all groups. Feedback was positive showing effective practice for a council in NOC, recommendations have been implemented already through CSR.</li> <li>• There is now clarity on the reporting of external income from discretionary services as follows:                             <ul style="list-style-type: none"> <li>- External Income from fees &amp; charges</li> <li>- External Income from Trading Service to School</li> <li>- External Income from Trading Services to 'Other' – (Local Authority of Business)</li> </ul> </li> <li>• For 17/18 the monitoring of external income from all of the above (£10.5m target) is reporting and monitored on a monthly basis at the Commercial &amp; Procurement Board.</li> <li>• The transition to full cost recovery for all services, in 17/18 has shown notable success e.g. Grangewaters &amp; Thameside Theatre.</li> </ul>	
<ol style="list-style-type: none"> <li>2. To continue to develop effective working relationships with key partners and stakeholders both in the borough and</li> </ol>	<ul style="list-style-type: none"> <li>• Proposals are being formalised for attendance at MIPI in March 2018 working with 3Fox aimed at both increasing the profile of Thurrock and specifically</li> </ul>	



<p>regionally/nationally to ensure Thurrock benefits from all opportunities to support the Council's aspirations and ambitions on behalf of residents and businesses.</p> <ul style="list-style-type: none"> <li>• To build the profile of Thurrock for our Growth/Placemaking agenda through a planned and considered programme of external showcasing of the borough, its opportunities and benefits.</li> <li>• To attend MIPIIM in March 2018 with a clear plan to attract new investment in the borough from both a business and housing focus.</li> <li>• Deliver the Resident Survey in September 2018 having taken action on the findings of 2017 to demonstrate improvements from the perspective of residents.</li> <li>• Undertake visits to all of the schools in the borough in 2017/18.</li> </ul>	<p>beginning to target housing development.</p> <ul style="list-style-type: none"> <li>• The resident survey began in September 2017 as agreed by Cabinet in March 2017. Results will be presented in December/January.</li> <li>• A series of schools visits is underway with a number already completed. In addition, I am attending the Head Teachers Forum regularly and recently presented to them about the Place-making agenda and the council's ambitions, demonstrating the importance of the link with schools and businesses. As a result I have been asked to do some further work with heads on this issue.</li> </ul>	
<p>3. Take the lead on influencing and shaping the Borough's Placemaking agenda including:</p> <ul style="list-style-type: none"> <li>• Develop a vision for Placemaking which leads to future investment in the borough through raising the profile of Thurrock both nationally and internationally.</li> <li>• Delivery of a Local Plan to meet the borough's aspirations and ambitions for residents and businesses.</li> <li>• Ensure the borough is best placed to mitigate the impact of a new LTC in Thurrock and that the voice of residents is heard in the future consultation process.</li> <li>• Drive the Digital Agenda in line with the borough's Placemaking ambitions, resolving short term broadband and lack of connectivity to delivering a digitally savvy and enabled borough on a Gigacity approach that benefits residents and businesses.</li> </ul>	<ul style="list-style-type: none"> <li>• In terms of the Digital agenda, key areas of focus over the last 6 months have been: <ul style="list-style-type: none"> <li>○ Bids have been made into OpenReach from East Tilbury &amp; Orsett Community Groups to achieve superfast broadband fibre to last 5% of Thurrock</li> <li>○ Delivery of the Hyperoptic partnership to enable ultrafast broadband is available to residents in our Social Housing Stock</li> <li>○ Working with partners in and around the Thurrock area to deliver the business case for a gigabit plus (ultrafast) broadband solution into Thurrock, a business case is nearing completion that will form the key submission that is made to DCMS when there is a government call for applications.</li> </ul> </li> <li>• In terms of the Placemaking agenda, progress over the last 6 months has been: <ul style="list-style-type: none"> <li>○ Masterplans have been agreed by Cabinet for Tilbury and Grays based upon delivery of high quality places. A new delivery partner has joined PCRL which will lead to real progress in scheme delivery in 2017/18 to transform the place of Purfleet. Thurrock will attend MIPIIM for the first time in March 2018 with several business partners signing up to endorse and support the Council's presence.</li> <li>○ Initial presentations to the groups on the potential approach to Issues and Options 2 have been made. A programme of further meetings with Group Leaders and Deputies are planned to check and challenge the evidence and the broad spatial options to be proposed for consultation. Issues and Options 2 is expected at Council in January.</li> <li>○ The LTC task Force has been established following meetings in the Spring and early Summer with Group Leaders, Highways England and the LTC Action Group. The Task Force which has two residents places on it, has met twice, has a future work programme in place and is</li> </ul> </li> </ul>	

	prepared to respond, after its November meeting, to the first consultation from Highways England on the EIA Scoping Report.																													
<p>4. Continue to work to support all the members of the borough, establishing their confidence and supporting positive working relationships across the political boundaries.</p> <ul style="list-style-type: none"><li>Review the outcomes of the consultation on election frequency, proposing a way forward through GSC and council which is then implemented and managed effectively.</li><li>Implement agreed recommendations from Finance Peer Review to ensure maximum transparency and inclusiveness through budget setting process.</li></ul>	<ul style="list-style-type: none"><li>An Extraordinary Council meeting was held on 27 September to consider the report on the outcome of the consultation on election frequency, the issue having already been discussed through the Governance Group. Council voted to leave the process as is ie ¾ yearly elections.</li><li>I organised an external, independent Finance Peer Review through the East of England LGA which was conducted in June 2017 having drafted the TOR and agreed them with the group leaders. Review concluded that process on the budget setting approach is appropriate for a NOC council, recommendations around use of CSR, O and S all have been implemented.</li></ul>																													
<p>5 Continue to build an effective leadership model across the entire council that recognises leaders at all levels and in all services. Ensure that demonstrated behaviours reinforce the value of the council and staff teams, drives high and constantly improving performance, motivates the staff team whilst empowering a ‘can do’ attitude that leads to ‘get it right first time every time’ where possible.</p> <ul style="list-style-type: none"><li>Display personal leadership behaviour that reinforces value for staff and belief in the ethos of being a public servant, which positively rewards excellence and positive outcomes.</li><li>Ensure and encourage a high turnout within the staff survey each year and lead in the delivery of an action plan which leads to improvement of staff satisfaction with the council, provides staff with the right tools to do their jobs effectively and ensures all in the organisation have a voice which is recognised and impactful.</li><li>Retain a high level of personal visibility and availability to staff throughout the organisation.</li></ul>	<ul style="list-style-type: none"><li>I continue to strongly promote the ethos of being a public servant, I speak at every new staff corporate induction, I continue to ensure regular Leadership Group and Manager Conferences are delivered, involving officers to own and shape the meetings. I sit on the bi-monthly Corporate Workforce Group with front-line officers and managers to engage staff across the organisation in issues which matter to them.</li><li>A light touch staff survey was delivered this year again with a turnout of 72% overall, the survey focused on those areas that were rated the least well performing in 2016. Results were very positive with improvements across all 6 areas including:</li></ul> <table><tr><td></td><td>Pulse 2017</td><td>Pulse 2016</td><td>Difference 2017 vs. 2016 +/-</td></tr><tr><td>So far, the council has lived up to the expectations created at recruitment</td><td>65%</td><td>51%</td><td>14%</td></tr><tr><td>I feel committed to the council’s goals (council’s 5 key priorities)</td><td>79%</td><td>68%</td><td>11%</td></tr><tr><td>My induction gave me the information and tools I needed to start my role effectively</td><td>67%</td><td>58%</td><td>9%</td></tr><tr><td>Senior Management are open and honest in their communications with staff</td><td>51%</td><td>42%</td><td>9%</td></tr><tr><td>Our IT systems meet the needs of the business</td><td>41%</td><td>32%</td><td>9%</td></tr><tr><td>I have confidence in Senior Management</td><td>58%</td><td>49%</td><td>9%</td></tr></table> <ul style="list-style-type: none"><li>I continue to write a weekly blog which includes a guest blog spot each week, deliver twice annual staff conferences where I take the event out to staff at the Depot for maximum engagement opportunity, I meet every new starter at the corporate induction and invite officers to write to me if they would like to raise any issues, ideas or concerns. I always present at the Long Service Awards and</li></ul>		Pulse 2017	Pulse 2016	Difference 2017 vs. 2016 +/-	So far, the council has lived up to the expectations created at recruitment	65%	51%	14%	I feel committed to the council’s goals (council’s 5 key priorities)	79%	68%	11%	My induction gave me the information and tools I needed to start my role effectively	67%	58%	9%	Senior Management are open and honest in their communications with staff	51%	42%	9%	Our IT systems meet the needs of the business	41%	32%	9%	I have confidence in Senior Management	58%	49%	9%	
	Pulse 2017	Pulse 2016	Difference 2017 vs. 2016 +/-																											
So far, the council has lived up to the expectations created at recruitment	65%	51%	14%																											
I feel committed to the council’s goals (council’s 5 key priorities)	79%	68%	11%																											
My induction gave me the information and tools I needed to start my role effectively	67%	58%	9%																											
Senior Management are open and honest in their communications with staff	51%	42%	9%																											
Our IT systems meet the needs of the business	41%	32%	9%																											
I have confidence in Senior Management	58%	49%	9%																											

	make sure I am visible at key staff events.	
<b>Mandatory objectives</b>		
Hold a formal PDR for each of my direct reports every six months	Yes	
Undertake at least 15% sampling of the formal PDRs undertaken by my direct reports every six months	Yes	
<b>*Ratings:</b> 1 = Exceeds target   2 = On target performance   3 = Some Improvement Needed   4 = Unacceptable performance		

## Personal Development Plan

Development Area	Action (including any training & timescales)	Review Comments (including dates of completion, etc.)
(add further rows as necessary)		

Signature of Leader & date:	 11 May 2017
Signature of Chief Executive & date:	 10 May 2017

### Additional Comments & Final Rating

<i>Chief Executive</i>	<i>GSC/ sub-committee</i>
<ul style="list-style-type: none"> <li>• Factors that may influence achievement of objectives and how these will be managed/support required</li> <li>• Other achievements in past six months not covered under 'objectives'</li> <li>• Suggestions for improving services</li> <li>• Any other comments</li> </ul>	<ul style="list-style-type: none"> <li>• Any additional support recommended</li> <li>• Overall assessment of employee's performance</li> </ul>

<b>Overall rating (1-4) to be completed by Council Leader at GSC meeting:</b>  If rated '2' the Chief Executive will progress to the median pay point in the following financial year, if they are not already on it. If rated '1' the Chief Executive will progress to the upper pay point in the following financial year, if they are not already on it.	

Data Protection Act

Signature of Leader & date:	
Signature of Chief Executive & date:	