



## Strategic/Corporate Risk and Opportunity Register Q1 June 2012



### Risks and Opportunities In Focus

The following risks/opportunities have been identified as the in focus items for the quarter by Performance Board. The items are separated between Risk & Opportunity and listed in priority (rating) order and then numeric order.



## Risks in Focus



# Corporate Risk 16 Business Continuity

Key to Rating Scores:  
 ▲ **RED** = 64-100 = High Priority  
 ⚡ **AMBER** = 32-63 = Medium Priority  
 ● **BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description					Lead Officer	Date Identified	Target End Date
RiskCorp 16 - BUSINESS CONTINUITY: The recent departure (November 2011) of the Business Continuity Officer from the Civil Protection Team in Public Protection has effectively meant that further work on the co-ordination of Business Continuity Planning across the Council has ceased and leads to the business continuity management arrangements across the Council becoming outdated & ineffective.					Magill, Lucy	30/09/2011	30/09/2012
Risk: The council's services are disproportionately impacted by foreseeable disruption effecting Thurrock.							
	<b>Inherent Rating</b>	<b>Residual Rating 31/12/2011</b>	<b>Residual Rating 31/03/2012</b>	<b>Residual Rating 30/06/2012</b>			<b>Latest RAB</b>
RM01 Rating	100	60	100	100			▲
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional			▲
RM03 Likelihood	Very High	Low	Very High	Very High			▲
<b>Current Risk / Opportunity (residual R/O Rating)</b>							
<b>Current Controls or Action</b>					<b>Assurance on Controls/Actions</b>		<b>Residual Rating 31/12/2011</b>
1. A corporate Business Continuity Plan was developed for the Council in 2010. Further service specific plans were developed to sit under the corporate plan in the period between the development of this plan and October 2011. 2. A group was established to refine business continuity arrangements for services further to allow for a better response from Council services in disruptive circumstances. 3. The recent departure (November 2011) of the Business Continuity Officer from the Civil Protection Team in Public Protection has effectively meant that further work on the co-ordination of Business Continuity Planning across the Council has ceased. 4. The departure of the Business Continuity Officer has provided the opportunity to review the arrangements in place for coordinating business continuity across the council.							60
<b>Target Risk/Opportunity</b>							
<b>Further Controls or Action</b>					<b>Assurance on Controls/Actions</b>		<b>Target R/O Rating</b>
5. A review of the arrangements in place to deliver this function is to be undertaken by the CEO and Head of Public Protection - December 2011 onwards. 6. Revised structure to be developed following the review in stage 2 above. 7. The structure and staffing should be chosen to address any shortcomings in previous arrangements identified. 8. Recruitment / redeployment decisions arising from the review will be implemented. 9. Should the review determine that the best course of action is to pursue business continuity for Thurrock by outsourcing the function to a third party then suitable contractors will be sought to fulfill this function and appropriate commercial arrangements developed to provide for third party delivery of this function.					5. Business continuity delivery subject to review by CEO and Head of Service. Subject to CEO / HOS review on Business Continuity Delivery the actions required to implement changes will be taken.		60
<b>Progress /Developments - Further Controls/actions 31/03/2012</b>							<b>Residual Rating 31/03/2012</b>
5. Roles within the team are currently being redesigned to give interim support to business continuity. All heads of service reminded at beginning of calendar year to review BC plans. ICT server failure in January 2012 is being investigated and learning from this episode is to be built into BC plans through work at DMT's, Leadership and BC management group. This work is being carried out jointly through EP/BC and Disaster Recovery							100
<b>Progress /Developments - Further Controls/actions 30/06/2012</b>							<b>Residual Rating 30/06/2012</b>
5. Following the role redesign above an officer has been identified to take forward business continuity work.							100



# Corporate Risk 9 ICT Infrastructure

Key to Rating Scores:  
 ▲ **RED** = 64-100 = High Priority  
 ⚡ **AMBER** = 32-63 = Medium Priority  
 ● **BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description					Lead Officer	Date Identified	Target End Date
RiskCorp 9 - 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.					Byatt, Nigel	30/09/2011	30/09/2014
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB		
RM01 Rating	100	90	90	90	▲		
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲		
RM03 Likelihood	Very High	High	High	High	▲		
Current Risk / Opportunity (residual R/O Rating)							
Current Controls or Action				Assurance on Controls/Actions			Residual Rating 31/12/2011
1. Corporate Information and Systems Development Board in place (strategic/pan-council ICT issues and manages e-government budget)				1. CSID minutes			90
2. ICT Operations Board in Place (monthly, provides project prioritisation/operational decisions)				2. ICT Operations Board minutes			
3. New ICT Strategy agreed by Cabinet on 12 October 2011.				3. CSID monitoring delivery of ICT Strategy			
4. Capital Investment for ICT agreed (£7million over 3 years)				4. Monthly monitoring of Capital investment by Corporate Finance			
5. Council has purchased Oracle E-Business Suite to provide Integrated applications and functionality around Financial Management and Business Intelligence reporting, HR, Payroll and Procurement.				5. Project Steering Group set up to monitor the progress against the delivery plan.			
Target Risk/Opportunity							
Further Controls or Action				Assurance on Controls/Actions			Target R/O Rating
6. Phase 1 of Implementation of Oracle upgrade to E-Business Suite (ERP - Enterprise Resource Planning) - Financial Upgrade (April 2012)				6. Project Management through Vertex Consultancy. Regular reports to Directors Board and CISD Board.			80
7. Phase 2 of ERP implementation - HR/Payroll (September 2012)				7. Project Management through Vertex Consultancy. Regular reports to Directors Board and CISD Board.			
8. CISD Board to consider and prioritise plans for the delivery of the wider ICT Strategy - Deliver Plan Mar 2012 onwards				8. Regular review by CISD Board			
Progress /Developments - Further Controls/actions 31/03/2012							Residual Rating 31/03/2012
6, 7 & 8. ERP continuing on target - other ICT initiatives being driven/championed by Transformation initiatives and business need - slow progress and lack of Corporate prioritization. Need to identify project resourcing and governance.							90
Progress /Developments - Further Controls/actions 30/06/2012							Residual Rating 30/06/2012
Q1 June 2012: 6. Phase 1 (Finance & Procurement) of ERP not fully delivered. Some defects with the system identified. Action plan to fix the position developed. All fixes targeted for completion by mid July. 7. A lessons learned exercise of the Phase 1 project undertaken. Delivery of Phase 2 effected by Phase 1 overrun & governance issue. Implementation plan (including resource) to be reviewed for the remainder of the project. 8. ICT Delivery Plan developed by Vertex and presented to the Council. The plan will go to CISD in May 2012 and is being integrated into the Transformation programme plan.							90



Corporate Risk 17a  
Emergency Planning & Response

Key to Rating Scores:  
 ▲ **RED** = 64-100 = High Priority  
 ⚡ **AMBER** = 32-63 = Medium Priority  
 ● **BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description				Lead Officer	Date Identified	Target End Date
RiskCorp 17a - EMERGENCY PLANNING & RESPONSE: Plans in place to deal with emergencies that arise and impact on Thurrock and for which the Council has a response role will become out of date and their relevance will decrease. This could mean that appropriate responses, to emergencies, from relevant departments and teams in Thurrock Council does not occur, or if it does the response is delayed and uncoordinated.				Magill, Lucy	30/09/2011	30/09/2012
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB	
RM01 Rating	90	60	90	90	▲	
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲	
RM03 Likelihood	High	Low	High	High	▲	
Current Risk / Opportunity (residual R/O Rating)						
Current Controls or Action			Assurance on Controls/Actions			Residual Rating 31/12/2011
1. Previous work has established a system for response by way of call out arrangements and plans have been developed and agreed for the Councils response.						60
2. Difficulties in recruitment have lead to a shortage of suitable staff to administer emergency planning at Thurrock. The reduction in activity in this area following the failure to secure long term staff with suitable experience will lead to these arrangements becoming out of date.						
Target Risk/Opportunity						
Further Controls or Action			Assurance on Controls/Actions			Target R/O Rating
3. Review of the Emergency Planning Team to be undertaken to determine future options for delivery of this function. Options to include recruitment into suitable posts within an in house team to deliver this service directly or outsourcing of function to allow for delivery via a third party.			3. Team review to be undertaken following CEO/HOS consultation on Emergency Planning Arrangements.			60
4. Following the review to be undertaken by the CEO and Head of Public Protection the option to recruit to and rebuild the Emergency Planning Team or enter into an appropriate contract with a third party to deliver emergency planning for Thurrock Council will be pursued.			4. Review of the function will provide the opportunity to ensure that the arrangements put into place address all emergency planning issues that have been identified since the last such review.			
Progress /Developments - Further Controls/actions 31/03/2012						Residual Rating 31/03/2012
1. Ongoing work in relation to increasing the number of people on the call out rota. Training will be carried out in quarter 1 of 2012/13. All officers on the rota are involved in the current program of testing and exercising to increase knowledge and ability to respond in an incident. Learning points from exercises and being integrated into system when appropriate.						90
2. Agency staff currently being recruited to increase capacity temporarily.						
3. Paper to DB on 28th February re emergency planning.						
Progress /Developments - Further Controls/actions 30/06/2012						Residual Rating 30/06/2012
2,3 & 4 Following on from review and pending a decision on recruitment, two staff have been seconded into the EP team from elsewhere in public protection.						90



Corporate Risk 22  
Community Engagement

Key to Rating Scores:  
 ▲ **RED** = 64-100 = High Priority  
 ⚡ **AMBER** = 32-63 = Medium Priority  
 ● **BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description	Lead Officer	Date Identified	Target End Date
RiskCorp 22 - COMMUNITY ENGAGEMENT: Community engagement is a key stage to improving outcomes for residents - Failure to adequately engage residents in shaping services or decisions which affect their lives can lead to dissatisfaction and a lack of inclusion with services and the Council. This will impact on service development and regeneration. And/or Failure to establish area working by setting up Community Councils and supporting Councilors to be effective community champions will mean the Council will not be working with local people to identify local priorities and resolving local issues. This will result in poor engagement with stakeholders to identify and address the key priorities for neighborhoods and communities of interest. And/or Failure to identify resources will undermine the ability to deliver the agreed strategy and implementation plan.	Warren, Natalie	30/09/2011	30/09/2013

	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	100	90	90	90	▲
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲
RM03 Likelihood	Very High	High	High	High	▲

Current Risk / Opportunity (residual R/O Rating)

Current Controls or Action	Assurance on Controls/Actions	Residual Rating 31/12/2011
1. Community Engagement Strategy and implementation plan developed and reported to Directors Board August 2011 and Cabinet November 2011. The Community Engagement Strategy and implementation plan will ensure the necessary tasks are completed to address the risk. 2. Pilot devolved budgets from August 2011 to March 2012 - in progress	1. The strategy and plan were reported to DB and Cabinet. The implementation plan will be monitored quarterly by the Community Engagement Group.	90

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
3. Reconvene Community Engagement Group with partner input - January 2012. 4. Develop Governance arrangements for Community Councils to enable devolved decisions (2 meetings per year) - May 2012. 5. Develop a range of options to support Councillors and HoS develop a creative, local approach to C. Councils - May 2012. 6. Secure resources to manage the Consultation portal - April 2012. 7. Create borough and neighborhood profiles May 2012 8. Establish a framework of agreed protocols relating to partnership working to ensure a consistent standard which imbeds protocol, especially around commissioning, equality impact assessments etc - includes the Compact and should reflect recent Best Value Guidance - July 2012. 9. Coordinated senior officer representation / Council participation at community events - Jan 2012 10. Clear communications that encourage participation and pride in Thurrock - January 2012 11. A log of key issues challenging practice is kept and used to evaluate practice (e.g. Compact challenges; poor engagement practice) - July 2012. 12. Inclusive engagement practice which reflects our commitments through the strategy and existing protocols - Sept 2013		60

Progress /Developments - Further Controls/actions 31/03/2012	Residual Rating 31/03/2012
3. The Community Engagement Group overseeing implementation has been reconvened as planned, and the Implementation Plan updated with input from this Group + Joint Forum with the Voluntary Sector. 4. Guidance for Community Councils on target - working with Dem Services so that recommendations are brought back into the Council depending on where delegation sits. 5. Training to HOS and Cllrs to follow once Governance in place - needs scoped. 6. Resources for Consultation Portal still to be indentified.	90

<b>Progress /Developments - Further Controls/actions 31/03/2012</b>	<b>Residual Rating 31/03/2012</b>
<ul style="list-style-type: none"> <li>7. Resources identified for Neighborhood Profiles - to be completed June '12</li> <li>8. Partnership working linked to Peer Review, Compact refresh planned with CVS - to pick up key issues log</li> <li>9. HOS linked to Community Councils - events overseeing other links</li> <li>10. Communications improving - Celebrate Thurrock 2012</li> </ul>	
<b>Progress /Developments - Further Controls/actions 30/06/2012</b>	<b>Residual Rating 30/06/2012</b>
<ul style="list-style-type: none"> <li>2. Cllr Devolved Budget Pilot completed - £14k spend supported</li> <li>3. CEG and JSF meeting and monitoring as planned - update provided to DB May 12</li> <li>4. Paper due to O&amp;S June and Cabinet July to agree governance</li> <li>5. Training to be provided when approval from 4 clear</li> <li>6 Resources still to be identified</li> <li>7 Seconded staff to start June 12 for six months to develop data for Neighbourhood Plans</li> <li>8 Compact refresh May - July consultation</li> <li>9. Dependent on Community Councils however representation at events supported via Comms</li> <li>10 Celebrate Thurrock, supported community engagement eg street parties</li> </ul>	90



# Corporate Risk 25

## Delivery of the Transformation Programme

Key to Rating Scores:  
 ▲ **RED** = 64-100 = High Priority  
 ⚡ **AMBER** = 32-63 = Medium Priority  
 ● **BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description					Lead Officer	Date Identified	Target End Date
RiskCorp 25 - DELIVERY OF THE TRANSFORMATION PROGRAMME: Failing to Deliver the Transformation Programme - The Transformation Programme does not make its savings target as defined by the 2012/13 Budget (£2.7million) and the MTFs. This leads to savings having to be made by other means, including service cuts, 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.					Waterhouse, Richard	30/09/2011	31/07/2012
Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB			
RM01 Rating	90	80	80	90	▲		
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲		
RM03 Likelihood	High	Significant	Significant	High	▲		
Current Risk / Opportunity (residual R/O Rating)							
Current Controls or Action				Assurance on Controls/Actions			Residual Rating 31/12/2011
1. Transformation Team worked closely with PWC on an analytics project looking to identify opportunities for savings.				1. Regular Staff Workshops			80
2. Initial delivery already in train including Stationary (August), MFDs (April), Cashiers Closure (July), MSTAIR (December).				2. Review by Steering Group and Directors Board as Transformation Board.			
3. Finance will remove money from 2012/13 budgets once delivery has occurred.				4. Directors Board form part of the Transformation Board			
4. Acceptance at Directors Board that this is a pan-Council Priority not just responsibility of the Transformation Directorate							
Target Risk/Opportunity							
Further Controls or Action				Assurance on Controls/Actions			Target R/O Rating
5. Additional capacity being sought to accelerate and inspire confidence in the production of Financial Business Cases - February 2012.				5. Monitoring by Directors Board and Transformation Delivery Group.			80
6. Further Scrutiny including likely Task and Finish Group - Jan 2012.							
7. Development of Clear Transformation Programme Structure, governance and communications plan - Jan 2012.							
8. Stronger Vertex engagement to assist in Transformation.							
Progress /Developments - Further Controls/actions 31/03/2012							Residual Rating 31/03/2012
1. Opportunities for savings identified and presented to Directors Board October 2011. Projects to take forward to deliver savings agreed.							80
2. Initial delivery included Stationery, MFDs, Cashiers Closure and MSTAIR. Additional projects include the centralization of Communications and Complaints Jan 2012.							
4. Directors Board are closely involved as senior accountable officers.							
5. Additional capacity (interim business analysts and programme manager) introduced to support production of business cases.							
6. Project and way forward to achieve savings presented to Overview and Scrutiny Committee Jan 2012.							
7. Structure of a 2 year transformation programme to address the £2.7M 2012/13 (and £4.4M 2013/14) savings targets presented and agreed by Directors Board December 2011. Transformation Programme has 4 themes to address customer access, excellent support services, better buying and new ways of working. A series of business cases for the delivery of the savings were presented and agreed by Directors Board February 2012. The business cases now move on the planned delivery of the projects.							
8. Vertex have been engaged in the PWC analytics work and the development of the business cases for the transformation projects.							



Progress /Developments - Further Controls/actions 30/06/2012	Residual Rating 30/06/2012
<p>7. Delivery of Phase 1 of the transformation programme in progress. Projects include:</p> <ul style="list-style-type: none"> <li>- Customer Contact Phase 1 (moving services from face to face to web and transferring all incoming telephone calls to the contact centre) delivery underway and project closure scheduled for Nov 2012.</li> <li>- Business Support (admin centralisation) delivery underway and project closure scheduled for Nov 2012.</li> <li>- MSTAIR project delivered and closed 30/4/12.</li> <li>- ERP Phase 1 (finance system) delivered 16/4/12. Phase 2 (HR/payroll) underway and on track.</li> </ul> <p>Preparations for Phase 2 of the transformation programme in progress with the development of new business cases, which are to be considered and reported by the Summer 2012. Generation of Gate 4 business cases for EDRMS, Supply Chain, Community Hubs and Customer Contact Phase 2.</p> <ul style="list-style-type: none"> <li>- A profile and apportionment of year one of the Programme's savings (£2.7m) has been produced and reported to June DB.</li> </ul> <p>8. Continued engagement and support from Vertex in the delivery of projects and the development of new business cases.</p> <p>Additional Action/Progress:</p> <p>10. Consider options and implement revised arrangements for the delivery of the transformation programme following the departure of the Director of Transformation on 15/06/12. May - June 2012.</p> <ul style="list-style-type: none"> <li>- The Chief Executive is currently consulting staff and considering the options for the future delivery of the programme.</li> </ul> <p>11. Source additional capacity to support the delivery of some of the Phase 2 projects (e.g. EDRMS) from suppliers, where appropriate.</p> <p>12. Improve integration of service transformation with the Transformation Programme.</p> <ul style="list-style-type: none"> <li>- Item to be considered and discussed during Strategy Week 11 - 15/06/12.</li> </ul> <p>13. Formally re-appraise the value of efficiencies likely to be realised from the sale of assets identified in the Community Hub Gate 2 business case agreed by DB in February 2012</p>	90



Corporate Risk 27b  
Purfleet Regeneration Project

Key to Rating Scores:  
 ▲ **RED** = 64-100 = High Priority  
 ⚡ **AMBER** = 32-63 = Medium Priority  
 ● **BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description	Lead Officer	Date Identified	Target End Date
RiskCorp 27b PURFLEET REGENERATION PROJECT: Complex land acquisition by CPO, appointment of development partner, securing and implementing planning permission could impact on the success of the project.	Lambert, Clare	30/09/2011	30/06/2014
	<b>Inherent Rating</b>	<b>Residual Rating 31/12/2011</b>	<b>Residual Rating 31/03/2012</b>
RM01 Rating	90	90	90
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional
RM03 Likelihood	High	High	High
<b>Current Risk / Opportunity (residual R/O Rating)</b>			
<b>Current Controls or Action</b>	<b>Assurance on Controls/Actions</b>	<b>Residual Rating 31/12/2011</b>	
1. Land assembly: The TTGDC have acquired about 50% of the required land, these assets to be transferred to the Council. Cabinet has agreed a first resolution to commence CPO processes - April 2011. 2. Procurement of development partner: TTGDC have been in competitive dialogue with prospective development partners. 3. Securing relevant consents: An application for outline planning permission has been submitted for the development with determination by TTGDC planning Committee in March 2012. 4. Primary School: Cabinet in December 2011 agreed to build provision into MTFs to fund new School in Purfleet to support the project.	1-4. TTGDC project officer acts on behalf of the Council and reports regularly to the Assistant Chief Executive.	90	
<b>Target Risk/Opportunity</b>			
<b>Further Controls or Action</b>	<b>Assurance on Controls/Actions</b>	<b>Target R/O Rating</b>	
5. Complete land assembly - Cabinet to consider and agree a second resolution if the Council is to CPO the land, Cabinet decision in early 2012. Process will require funding for land acquisition, compensation and fees. 6. Development Partner procured 7. Secure relevant and remaining consents: TTGDC to determine the application for outline planning permission March 2012. Reserved matters planning consents required for each phase of development 8. Primary school funding 9. Project implementation	5-9. TTGDC project officer acts on behalf of the Council and reports regularly to the Assistant Chief Executive	60	
<b>Progress /Developments - Further Controls/actions 31/03/2012</b>			<b>Residual Rating 31/03/2012</b>
5&6. Land assembly has not progressed while competitive dialogue continues with prospective development partners. Regulations governing OJEU require confidentiality, further development may be reported next quarter. 7. Outline planning application to be considered at TTG planning committee on the 5th March. If resolution to grant planning permission, application will be referred to the Secretary of State for consideration. If decision notice not issued by TTG before 31st March, application will have to be reported to TBC planning committee			90
<b>Progress /Developments - Further Controls/actions 30/06/2012</b>			<b>Residual Rating 30/06/2012</b>
1&5. Land Assembly - Approx 50% of the required land acquired to date. Negotiation and work to acquire the land ongoing. 2&6. Cabinet approval to re-procurement and Governance being sought on 13th June 2012 which, if granted, will enable new OJEU Competitive Dialogue process to commence immediately thereafter. Documents are being prepared by CEDU and will be reviewed by Programme Board before process is commenced. No contractual commitment will be made without further Cabinet approval at the appropriate stage. Assistant Chief Executive will report progress to Cabinet regularly. 7. Further invertebrate survey to be carried out and to be reported Sept 2012. Planning application to be considered by Planning Committee Nov - Dec 2012.			90



Corporate Risk 35  
Children's Social Care

Key to Rating Scores:  
 ▲ **RED** = 64-100 = High Priority  
 ⚡ **AMBER** = 32-63 = Medium Priority  
 ● **BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description					Lead Officer	Date Identified	Target End Date
RiskCorp 35 - CHILDREN'S SOCIAL CARE: 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.					Foster, Barbara	30/09/2011	31/03/2014
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB		
RM01 Rating	90	90	90	90	▲		
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲		
RM03 Likelihood	High	High	High	High	▲		
Current Risk / Opportunity (residual R/O Rating)							
Current Controls or Action				Assurance on Controls/Actions			Residual Rating 31/12/2011
1. Planned reductions to the establishment implemented from August 2010 onwards to achieve reductions in expenditure. 2. Reduction in Service Managers undertaken in July 2011 to achieve in year savings. 3. Reduction in social work staffing levels for looked after children undertaken in Dec 2011 to achieve in year savings. 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.				1. Impact on Social Care Services of reductions in expenditure reported to Children's O&S Committee 19th August 2010. 4. Early Offer of Help Strategy to be reported to Cabinet, via Director board March 2012			90
Target Risk/Opportunity							
Further Controls or Action				Assurance on Controls/Actions			Target R/O Rating
5. Ongoing management review and reporting of services (e.g. resource and demand pressures) - February 2012 6. Implementation of 'Early Offer of Help Strategy' - from April 2012				5. Report to Children's Overview & Scrutiny February 2012.			80
Progress /Developments - Further Controls/actions 31/03/2012							Residual Rating 31/03/2012
5. Report on service including resource and demand pressures presented to Children's Overview & Scrutiny Panel February 2012.. 6. This is a phased implementation that involves the engagement of partners in the design of the Strategy. Procurement and staffing changes are planned to ensure full implementation from April 2013. There is a full Work Plan and all tasks due by April 2012 are on track.							90
Progress /Developments - Further Controls/actions 30/06/2012							Residual Rating 30/06/2012
6. Proposals for the Early Offer of Help developed and to be considered by Cabinet in June 2012.							90
Additional Action:							
7. Development of business case/growth bid for resource for consideration by Star Chamber - August 2012.							



# Corporate Risk 17b Olympics Emergency Planning

Key to Rating Scores:  
**RED** = 64-100 = High Priority  
**AMBER** = 32-63 = Medium Priority  
**BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description					Lead Officer	Date Identified	Target End Date
RiskCorp 17b - OLYMPICS, EMERGENCY RESPONSE: Risk of a failure of the Council to plan and respond appropriately to significant incidents or disruption in the borough that could impact on the Olympic Games and/or Thurrock and tarnish Thurrock's reputation.					Magill, Lucy	30/09/2011	31/07/2012
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB		
RM01 Rating	100	80	80	80	▲		
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲		
RM03 Likelihood	Very High	Significant	Significant	Significant	▲		
Current Risk / Opportunity (residual R/O Rating)							
Current Controls or Action					Assurance on Controls/Actions		Residual Rating 31/12/2011
1. Establish resource - Budget identified Apr2011 and Olympics Group chaired by the Head of Public Protection and including relevant officers from across the Council meeting on a monthly basis from October 2011 onwards  2. Assess risk of disruption and plan response - Non venue guidance provided by the Cabinet Office considered by the Olympics Group. OG have developed the following action plans to deal with specific issues around the impact of the Olympics in Thurrock: Business Engagement Cleaning and Greening Transport Community Safety Emergency Planning Event Management (other than torch relay). Promotion and Communications Schools Engagement Sports Transportation  3. Safety Advisory Group convened December 2011 and to work on the event management plan and issues surrounding the torch relay that is scheduled to pass through Thurrock.					1-3 Regular reports to Director of Peoples Services and Directors Board by the Chair of the Olympics Group.  3. Safety Advisory Group reports to the Olympics Group.		80
Target Risk/Opportunity							
Further Controls or Action					Assurance on Controls/Actions		Target R/O Rating
4. Develop event management plan for the torch relay - Jan 2012 onwards  5. The Olympics group will liaise with council teams and partners to take the steps identified in each of the action plans identified above.					4. Development of the event management plan for the torch relay is monitored by the Olympics Group  5. Progress with taking the necessary action plan steps is monitored at each Olympic Group meeting and a standing agenda item has been included to ensure this is done diligently.		60
Progress /Developments - Further Controls/actions 31/03/2012							Residual Rating 31/03/2012
1 & 2 Ongoing work around all aspects of the Olympics. Olympics working group established and preparing for all eventualities. 3 & 4 Olympic Torch relay (OTR) being dealt with through this group and work with partners through Safety Advisory Group. Paper to DB on 28th February around OTR.							80
Progress /Developments - Further Controls/actions 30/06/2012							Residual Rating 30/06/2012
1 & 2 Work still ongoing 3 & 4 Version 3 of the Event Management Plan for the Olympics produced, further updates to be made as information is received relating to the event.							80



Corporate Risk 18  
**Morrison Housing Repairs Contract**

Key to Rating Scores:  
 ▲ **RED** = 64-100 = High Priority  
 ⚡ **AMBER** = 32-63 = Medium Priority  
 ● **BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description					Lead Officer	Date Identified	Target End Date
RiskCorp 18 MORRISON HOUSING REPAIRS CONTRACT: Development of the outsourced repairs service to deliver a timely and quality customer focused service					Sinclair, Linda	30/09/2011	31/07/2012
In August 2010 the Council entered a contract with Morrison to deliver the majority of the responsive repair service. The contract is experiencing difficulties in both the quality and timeliness of the repairs service and leads to customer dissatisfaction with the service, damage to the Council's reputation and potential contract dispute over partners entitlement from inception of contract to March 2012.							
	<b>Inherent Rating</b>	<b>Residual Rating 31/12/2011</b>	<b>Residual Rating 31/03/2012</b>	<b>Residual Rating 30/06/2012</b>			
RM01 Rating	80	64	64	80	▲		
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Critical/Exceptional	▲		
RM03 Likelihood	Very High	Significant	Significant	Significant	▲		
<b>Current Risk / Opportunity (residual R/O Rating)</b>							
<b>Current Controls or Action</b>					<b>Assurance on Controls/Actions</b>		<b>Residual Rating 31/12/2011</b>
1. Regular Operational meetings from August 2010 onwards. 2. Bi annual Core meetings to look at escalated concerns - Meeting commenced from January 2011 onwards. Meetings will provide a strong monitoring tool going forward. 3. Co location of repairs line with Morrison's technical staff. Repairs line relocated beginning of October 2011. Early signs are positive but volume of emergency orders need to be reduced. 4. New Schedule Of Rates for pricing orders has been developed and introduced November 2011 5. New depot at Blackshots for service delivery opened November 2011					2. Bi annual core meetings will provide a strong monitoring tool going forward.		64
<b>Target Risk/Opportunity</b>							
<b>Further Controls or Action</b>					<b>Assurance on Controls/Actions</b>		<b>Target R/O Rating</b>
6. ICT Interface being developed to allow automatic job completion and invoicing. Target date January 2012 7. Core and executive meetings being transformed to reflect a more robust contractual format. Target date December 2011 8. Introduction of formally signed off change controls. Target date December 2011 9. Analysis of customer feedback and repair costs. Target date January 2012					8. Management review of contract and improvements.		16
<b>Progress /Developments - Further Controls/actions 31/03/2012</b>							<b>Residual Rating 31/03/2012</b>
2&7. Regular Core Meetings are now taking place. 8. The variation limit before Morrison request approval from the Council has been lowered to bring in better financial control. 3. Additional staff have been put into Alexander House to manage the increased call volumes. 6. Interface has been ongoing but is still in testing. 3,4&9. A review of the repair costs and SoR pricing is underway. The policy for emergency repairs has been reviewed and revised repair instructions have been issued. Full training to be arranged.							64
<b>Progress /Developments - Further Controls/actions 30/06/2012</b>							<b>Residual Rating 30/06/2012</b>
Progress and changes to current & further controls/action: 2&7. Core group meetings escalated to one per month. This will be designed to record performance and improve service delivery  4&6. Audit being undertaken of invoices submitted to test value for money of new schedule of rates. Payments to Morrison have been held pending the results of this audit. Interface now developed to enable electronic billing. Interface has gone live and first batch of invoices received.							

Progress /Developments - Further Controls/actions 30/06/2012	Residual Rating 30/06/2012
<p>8. Re-processing of repairs to eliminate excessive variation processes and voids to facilitate quicker hand-overs. Processes are being re-mapped with key staff. The new processes are on target and to be discussed in training sessions with staff in June.</p> <p>9. The main section of the proposed performance regime to be re-structured to be centred on customer service compiled by an independent survey starting in July. This will show the clear direction of service delivery over its 6 month duration.</p> <p>Further control/action identified:</p> <p>10. Additional management depth within Council team to strengthen partnership management with an emphasis on service delivery in people's homes.</p> <p>11. Offer to be made to Morrison to settle on a cost for the period to March 2012. There is likely to be a dispute over final amounts due, which the additional management depth (see 10 above) will be briefed to resource.</p>	80



## Opportunities in Focus



# Corporate Opportunity 26a Enterprise Resource Planning (ERP)

Key to Rating Scores:  
**▲ RED** = 64-100 = High Priority  
**🟡 AMBER** = 32-63 = Medium Priority  
**🟢 BLUE** = 1-31 = Low Priority

<b>Risks</b>	<b>Likelihood:</b>	<b>Opportunities</b>
<b>Negative Impact:</b>	A Very High	<b>Positive Impact:</b>
I Critical	B High	I Exceptional
II Substantial	C Significant	II Major
III Marginal	D Low	III Moderate
IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description				Lead Officer	Date Identified	Target End Date
OppCorp 26a ERP/ORACLE UPGRADE: Our current ICT systems and business processes for HR/Payroll, Finance and Procurement are stand alone, legacy devices which are very resource and support intensive and don't give the Council the functionality it now requires. ERP will give the Council an up-to-date and integrated ICT platform across these key corporate systems and drive new functionality such as accrual accounting and staff self service driving important cultural change.				Waterhouse, Richard	30/09/2011	31/03/2013
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB	
RM01 Rating	80	100	100	100	▲	
RM02 Impact	Substantial/Major	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲	
RM03 Likelihood	Very High	Very High	Very High	Very High	▲	
Current Risk / Opportunity (residual R/O Rating)						
Current Controls or Action				Assurance on Controls/Actions		Residual Rating 31/12/2011
1. Capital funding agreed including contingency fund - Sept 2011. 2. Project is being lead by an experienced Project team from Vertex and the market with support from Oracle Consulting and Oracle on demand leads on from business case development - October 2011 3. Detailed planning to a resource level against every work package across the project has been undertaken - October 2011 to October 2012. 4. Strong governance process including a Steering Group, Design Authority and Project Management set up as part of the Project Plan to oversee delivery of plan to timescales and budget - October 2011 to October 2012. 5. Contingency spending cannot be committed without specific agreement of the Council (Director of Transformation) and Steering Group. 6. An independent Quality Assurance Manager has been recruited working directly to the Director of Transformation to oversee the data integrity related issues - December 2011.				2. Robust Programme Management from Vertex function. 4. Strong Steering Group of Council, Vertex and Oracle, incorporating highlight reporting. 6. Independent QA resource employed by Council.		100
Target Risk/Opportunity						
Further Controls or Action				Assurance on Controls/Actions		Target R/O Rating
7. Phase 1 of Implementation of Oracle upgrade to E-Business Suite (ERP - Enterprise Resource Planning) - Financial Upgrade, (April 2012) 8. Phase 2 of ERP implementation - HR/Payroll (September 2012) 9. CISD Board to consider and prioritise plans for the delivery of the wider ICT Strategy.				7. Review by Project Management team and Steering Group. 8. Review by Project Management team and Steering Group.		100
Progress /Developments - Further Controls/actions 31/03/2012						Residual Rating 31/03/2012
2, 3, 4 & 5. Regular reviews by the project team and steering group to oversee the delivery of the project plan to timescales and budget. 7. Phase 1 implementation of Oracle upgrade to E-Business Suite (Finance upgrade, Procurement and Business Intelligence) on target. 8. Phase 2 of ERP implementation of HR & Payroll is planned and incorporated in the project plan. 9. Other elements of ICT Strategy progressing and being driven/championed by Transformation initiatives and business need						100
Progress /Developments - Further Controls/actions 30/06/2012						Residual Rating 30/06/2012
2,3,4&5. ERP Steering Group, Project Team and project plans established. ERP Steering Group meeting on a regular basis to discuss status of projects, any key issues and progress against plans. Governance needs to be strengthened following the departure of the Director of Transformation. 7. Phase 1 Finance & Procurement - Project not fully delivered. Some defects with the system identified. Action plan to fix the position developed. All fixes targeted for completion by mid July. 8. Phase 2 HR/Payroll - Delivery of Phase 2 effected by Phase 1 overrun & governance issue. Implementation plan (including resource) and governance framework to be reviewed for the remainder of the project. 9. ICT Delivery Plan developed by Vertex and presented to the Council. The plan will go to CISD in May 2012 and is being integrated into the Transformation programme plan.						100