



Strategic/Corporate Risk and Opportunity Register
Q1 June 2012



All Current Risks and Opportunities in Reference Number (numeric) order



Corporate Risk 1
Medium Term Financial Strategy

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 1 - DELIVERY OF THE MTFS (2011/12): 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 2011/12 and/or savings are not delivered to meet forecasted budget deficits. 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	Hone, Martin	30/09/2011	01/07/2012
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012
RM01 Rating	100	80	80
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional
RM03 Likelihood	Very High	Significant	Significant
			Residual Rating 30/06/2012
			20
			Marginal/Moderate
			Low
Current Risk / Opportunity (residual R/O Rating)			
Current Controls or Action	Assurance on Controls/Actions		Residual Rating
1. Regular reports to Directors Board and Cabinet on latest budget position - January 2011 onwards. 2. Star Chamber meetings were held in September 2011 to determine growth and savings across all services 3. Budget Proposals taken to Cabinet and Scrutiny much earlier in the process than previous years to try to secure cross party political support - October 2011 4. Austerity Measures have been in place since July 2010 to limit discretionary spend 5. Identify and monitor the effect of the integration of the DC in April 2012 on the Council's finances - June 2011 to March 2012. 6. Recommendations from the Audit Commission's Annual Governance Review relating to the MTFS will be incorporated in the next iteration of the strategy (February 2012).	1. Monthly to Directors Board, Quarterly to Cabinet 2. Star Chamber was lead by the Leader of the Council, Chief Executive and Corporate Director of Finance and Corporate Governance 4. 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) 5. Due diligence work is being carried out by the Delivery Unit, Finance and Legal Services in advance of the integration of the DC 6. Review of the MTFS is part of the 2012/13 budget timetable.		80
Target Risk/Opportunity			
Further Controls or Action	Assurance on Controls/Actions		Target R/O Rating
7. Prepare a more robust MTFS (by Feb 2012) to incorporate best and worst case scenarios and better contingency planning 8. The implementation of the ERP/Oracle upgrade project will provide enhanced reporting capabilities with direct access for budget holders to view. The project will also include briefings and training for all relevant officers. [NB there is a separate risk/opportunity on ERP] - April 2012.	7. DB are monitoring the development of the new MTFS 8. There is a formal ERP Project Board responsible for the delivery of this project, which has partner and Council representatives on it and has a DB sponsor		20
Progress /Developments - Further Controls/actions 31/03/2012			Residual Rating 31/03/2012
2&3. Medium term financial forecast and growth/ savings proposals for 2012/13 reported to Cabinet 26/10/11. 5. Integration of the DC - Due diligence work ongoing. 6&7. The MTFS considered by Cabinet on 22/2/12 included the recommended changes from the peer review and external auditors. 8. At the time of writing (17/2) the ERP project is on track to go live on 1 April as planned.			80
Progress /Developments - Further Controls/actions 30/06/2012			Residual Rating 30/06/2012
1. All reports were submitted on time. 2. 2011 Star Chamber meetings completed. The Star Chamber meetings for the coming budget cycle (2013/14) will be held in late-July/early-August. 4. Austerity measures continue to be monitored and reported to DB/Cabinet as appropriate. 5. The due diligence work on the transfer of the DC has been completed.			

Progress /Developments - Further Controls/actions 30/06/2012	Residual Rating 30/06/2012
<p>6. The MTFS will be rolled forward by a year in July 2012.</p> <p>7. The amended MTFS will be presented at Strategy Week (w/c 11 June 2012).</p> <p>8. ERP went live as planned in April.</p> <p>The draft budget outturn for 2011/12 suggests an underspend on General Fund of about £500k and an overspend of about £1,700k on HRA (due mainly to issues with the Morrison contract for housing repairs). GF reserves are estimated to be £8,000k at 31 March 2012. HRA reserves were all but exhausted by the overspend, but will be replenished by planned surpluses in financial year 2012/13.</p> <p>MTFS 2011/12 risk removed. New risk tabled for MTFS 2012/13 (see risk 39 for details).</p>	20



Corporate Risk 2 Information Security

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 2 - INFORMATION SECURITY: Personal and/or business sensitive information/data is accessed by unauthorised individuals, due to employees not adhering to the Council's Information Security Policy. If any such data is stored on transportable media (i.e. laptops and memory sticks), then these devices must be encrypted. The Information Commissioners Office can now impose fines up to £500K	Henley, Lee	01/04/2011	31/07/2012
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012
RM01 Rating	80	64	64
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major
RM03 Likelihood	Very High	Significant	Significant
			Residual Rating 30/06/2012
			64
			Latest RAB
			▲
			▲
			▲

Current Risk / Opportunity (residual R/O Rating)

Current Controls or Action	Assurance on Controls/Actions	Residual Rating 31/12/2011
1. Information Security Policy in place, including a user acceptance statement as part of log in process - Data Security Policy refreshed back in July 2011	1. All Data Security Policies were approved by CHRECC back in August 2010. The Data Security Policy was refreshed in July 2011 and approved by CHRECC Board Members	64
2. Training provided for staff - including class-based and e-learning options - Classroom Training from 2008. E-learning August 2010	2. Developing Together attendance logs	
3. Encrypted memory sticks are available for staff - From July 2011	4. Vertex ICT will log each laptop they encrypt	
4. Laptop encryption project is ongoing - Ongoing since May 2011 onwards - Pilot in progress and due to finish end of February 2012, with rollout across the organization commencing March 2012.	1-4 Monitoring of progress by the Information Manager. Regular reporting of position to Corporate Information Systems Development Board by the Information Manager.	

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
5. Work with Vertex to implement "device control" mechanism in early 2012 to allow the Council to control what is being saved to portable media.	5. Monitoring of progress by the Information Manager. Regular reporting of position to Corporate Information Systems Development Board by the Information Manager.	48

Progress /Developments - Further Controls/actions 31/03/2012	Residual Rating 31/03/2012
3. Laptop encryption update: The laptop encryption pilot has finished and ICT Ops Board reps have now been tasked to take this forward for their respective areas (see attached email). Tasks for ICT Ops Board reps are shown below: - ICT Ops Board members to ensue all users who use a laptop within their Directorate complete the e-form (set up to determine if their device needs be encrypted) by the 9th March 2012. - ICT Board Reps to advise all staff within their area that the use of any unencrypted laptop to store protect or above information is a breach of our Information Security Policies. This can result in disciplinary action due to risks involved. - On the 9th March, ICT Ops Board Reps will need to identify all laptop owners within their Directorates who have not completed an e-form. When this is known each Head of Service should be made aware along with the Information Manager (by the ICT Board rep), of those staff who have failed to complete the e-form (to establish if laptop encryption is required). ICT Ops Board Reps have been advised that failure to complete the e-form will result in laptops for their area not being identified for encryption. This could result in data protection/security risks for the Council.	64
4. Device control update: I am waiting on Vertex to appoint a new member of staff who will lead on the technical aspects of Device Control. Steve Abbott has confirmed that this person will be in post by the end of February.I cannot move forward with this, until the Vertex member of staff is in post. When they are appointed, I will able to work alongside this individual to cover off the business changes required for Device Control (including policy/procedure and communications etc).	

Progress /Developments - Further Controls/actions 30/06/2012	Residual Rating 30/06/2012
4. Laptop encryption update: It has been estimated that 350 laptops are in use. Of the 350 ICT have confirmed that 178 laptops have now been encrypted. Due to state of our asset inventory/register, it will be proposed that the an instruction will be given to all staff that all laptops musts be encrypted. The corporate cost of this for the	

remaining laptops is estimated to be £6k

The Information Manager will need to agree this approach with Head of Business Services and then arrange for a communication to go out. The communication will:

- Instruct all staff who use a laptop that their device will need to be encrypted
- Advise staff how to arrange this (point them to the catalogue)
- Inform managers who will authorise the request that this is an ideal opportunity to confirm if their team needs the laptop (and if not hand the device back)
- Inform staff/managers of the cost of this (£30 per device)

Other related actions:

- Change our policy to state all laptops must be encrypted
- ICT to develop a robust asset register

5. Device Control update

Vertex only recently submitted a proposal for this (on the 25 March). The proposal needs to be considered by the Council to agree timeframes/next steps and this will not take place until the July.



Corporate Risk 3
Quality of Accounts

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 3 - QUALITY OF ACCOUNTS: 2011/12 Accounts are not completed by statutory deadline of 30 September 2012 and/or will contain significant errors, leading to loss of reputation, impact on resources (both financial and human resources) associated with resolving issues and political pressure.				Hone, Martin	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	40	40	40	36	●	
RM02 Impact	Marginal/Moderate	Marginal/Moderate	Marginal/Moderate	Marginal/Moderate	●	
RM03 Likelihood	Very High	Very High	Very High	High	▲	
Current Risk / Opportunity (residual R/O Rating)						
Current Controls or Action				Assurance on Controls/Actions		Residual Rating 31/12/2011
1. Ensuring 2010/11 accounts closed more accurately than previous years - By September 2012 2. Restructured service to create a new post committed to the final accounts process - From February - September 2012 3. Put in place a more robust timetable for 2011-12 process, plus revised senior level roles and responsibilities - As per report to Audit Committee 7 December 2011 4. Recruited Consultant to provide a new Chart of Accounts - Commenced November 2011. Task will be completed by 1 January 2012 5. Sought quotes for independent analysis of the accounts in future - By February 2012. 6. Work has begun on identifying the impact on the quality of the accounts related to the integration of the DC in April 2012, particularly in relation to their assets and liabilities - June 2011 Onwards				1-6. Audit Committee are receiving progress reports at each Committee meeting.		40
Target Risk/Opportunity						
Further Controls or Action				Assurance on Controls/Actions		Target R/O Rating
7. Currently a standing item on Corporate Governance Group (From November 2011) 8. Implement the Audit Commission's recommended Action Plan following conclusion of inspection 9. The implementation of the ERP/Oracle upgrade project will provide enhanced reporting capabilities allowing more efficient reports and greater transparency. This should allow any discrepancies to be highlighted earlier in the process - April 2012. 10. Continue monitoring the effect of the integration of the DC in April 2012 on the quality of the accounts, in particular assets and liabilities - April 2012 onwards				7. Corporate Governance Board meets monthly (CEX/Dir of FCG/Head of Legal/Head of Finance.) Regular reports will be made to the monthly Corporate Governance Groups and twice-monthly Directors' Board. During the closing project (February to September 2012) there will be twice-weekly meetings between the Director of Finance & Corporate Governance and the Accountancy Team. 8. Progress against the Action Plan will be reported to Audit Committee. 9. There is a formal ERP Project Board responsible for the delivery of this project, which has partner and Council representatives on it and has a DB sponsor.		20
Progress /Developments - Further Controls/actions 31/03/2012						Residual Rating 31/03/2012
2. New chief accountant appointed January 2012 and the Chartered Institute of Public Finance & Accountancy also commissioned to provide a bespoke 12-month training programme for Thurrock Council to improve the skills and capabilities of its finance and related staff. 3. Timetable for 2011/12 and revised senior level roles and responsibilities developed and reported to Nov 2011 Audit Committee. 4. Chart of accounts top simplify both year end closure of accounts and associated government returns finalized 06/01/12. 7. Each meeting of the Audit Committee receives an update on progress with implementing the agreed improvements in closing the accounts. The "closing team" meets twice-weekly to ensure all tasks are completed or in hand. At the time of writing (17/2) the closing programme is being adhered to. 8. Audit Commissions recommendations contained in the Annual Governance report submitted to Audit Committee Nov 2011. Actions to address incorporated in improvement plan/timetable. 9. The upgrade of the Council's financial system is on target to go live on 30/03/12. 10. Due diligence work in progress on the assets and liabilities that form part of the transfer.						40

Progress /Developments - Further Controls/actions 30/06/2012

Residual
Rating
30/06/2012

1-6: All actions agreed have been implemented at the target dates. Regular reports have been submitted to the Audit Committee. The accounts were finally signed off in April 2012. A special Audit Committee will meet on 27 June to formally agree the financial statements and to receive the final report on this matter from the Audit Commission and the Director of Finance & Corporate Governance. The closure of the 2011/12 accounts is currently under way, and is going according to plan. Draft accounts will be handed to the Audit Commission by the end of June at the latest.

7. Regular reports have been made to the Corporate Governance Group.

8. Action Plan updates have been made to the Audit Committee.

9. The ERP upgrade to the Council's financial systems went live in April 2012 as planned.

10. The transfer of the DC assets and liabilities took place in April 2012 as planned.

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Corporate Opportunity 4 Business Rates Retention

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 ▲ **RED** = 64-100 = High Priority
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Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
I Critical	B High	I Exceptional
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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 4 BUSINESS RATES RETENTION: Under existing arrangements, non-domestic rates (or business rates) revenue collected by local authorities is pooled for redistribution to local authorities in England. Government proposals under the Local Government Resource Review will enable the Council to benefit from growth in business rates by retaining a proportion of the growth income. This will enable increased resources retained by the Council allowing local people and businesses to benefit. There may also be the opportunity to use additional income to fund Tax Incremental Financing (TIF), allowing the Council to borrow for infrastructure projects using the additional business rates income to meet annual borrowing costs. The new arrangements are due to be introduced from April 2013.	Hone, Martin	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	80	80	80	▲	
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲	
RM03 Likelihood	Significant	Significant	Significant	Significant	▲	
Current Risk / Opportunity (residual R/O Rating)						
Current Controls or Action	Assurance on Controls/Actions				Residual Rating 31/12/2011	
1. Responded to national consultation selecting the options which would be most beneficial to Thurrock - Consultation July to Oct 2011	1. Once the outcome of the consultation is known (April 2012), a full report on implications will be prepared by the Director of Finance & Corporate Governance for DB and Cabinet.				80	
2. Preliminary work undertaken on identifying whether there is a benefit to "pooling" with other authorities.						
Target Risk/Opportunity						
Further Controls or Action	Assurance on Controls/Actions				Target R/O Rating	
3. Report on preliminary work undertaken on potential pooling with other authorities and the benefit or implications of the arrangements to Directors Board and Cabinet - February 2012	3. The implications will be included in the next iteration of the MTFS (Cabinet February 2012).				100	
4. Consultation ended in October 2011 - Await announcement of the approved final scheme April 2012	4. Levels of business rateable values will be monitored as part of the monthly performance report from Vertex.					
5. Full report on implications to Directors Board and Cabinet by the Director of Finance & Corporate Governance	5. Implications reviewed by Directors Board & Cabinet					
6. Further investigation into the various possibilities and benefits/disadvantages of pooling with other authorities	6. Retention of business rates/TIF is a standing item for Essex Finance Officers' Association and for Unitary Treasurers - further briefings and joint working on the impact of the new arrangements will take place in advance of April 2013.					
Progress /Developments - Further Controls/actions 31/03/2012						
3. A pan-Essex Strategic Leaders' Finance Group has been created to consider proposed changes in both Business Rates and Council Tax (first meeting held 17/1/12).5-Year Projections have been calculated for Thurrock by LG Futures, and these have been factored into the MTFS considered by Cabinet on 22/2/12.						80
Progress /Developments - Further Controls/actions 30/06/2012						
1. The consultation period has ended and details of the proposed scheme have been published - a briefing will go to Cabinet in July 012 as part of the roll-forward of the MTFS. 3-6. The LG Futures' analysis has been received and validated. The implications will be worked through during Strategy Week (w/c 11 June 2012) and then included in the next iteration of the MTFS that forms the basis for the 2013/14 budget round (July/August 2012).					80	



Corporate Risk 6 Capacity for Change

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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	
Risk Corp 6 - CAPACITY FOR CHANGE: The Council is in danger of changing too much too fast for an organisation not ready for significant change. This leads to low levels of engagement with staff and results in staff dissatisfaction, low morale, low productivity, high sickness levels (particularly stress related), employment Relations issues eg grievances and low retention rates and potential difficulties in recruiting staff if the Council's reputation as an employer is damaged.	Hinchliffe, Jackie	30/09/2011	31/03/2012	
Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	80	72	72	▲
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	▲
RM03 Likelihood	Very High	High	High	▲
Current Risk / Opportunity (residual R/O Rating)				
Current Controls or Action	Assurance on Controls/Actions			Residual Rating 31/12/2011
<p>1. A number of Learning & Development Programmes/Courses have been offered through Developing Together from Aug 2010 onwards - Supporting People Through Change, Stress Management, Managers Development Programme, Encouraging a Low Stress Culture</p> <p>2. Full consultation and engagement of Trade Unions from August 2010 onwards</p> <p>3. Monthly MI Packs monitor sickness, leaving reasons and employee relations issues. MI packs introduced Sept 2009 onwards.</p> <p>4. Effective planning, management and engagement through transformation delivery group from Nov 2011</p>	<p>1. Course attendance being monitored by Developing Together and HROD SMT and reported as appropriate to CHRECC/Directors Board and individual feedback should be monitored by line managers as part of the 1:1 PDR process</p> <p>2. Monthly meetings with between HR/OD, Vertex and Trade Unions</p> <p>3. Monthly HRMI packs are given to all HOS and discussed at DMTs with HR Advisor. In addition, Performance Board consider the sickness data on a monthly basis and recommend whether the issue needs to be highlighted to Directors Board, and then further to Cabinet and Corporate O&S. Standing item on CHRECC and agreed actions incorporated into minutes of the Board</p> <p>4. Cross cutting impact, resource requirements and deliverability of the Transformation Programme in the context of other change activity to be assessed by the group and reported to DB on a regular basis, highlighting risks.</p>			72
Target Risk/Opportunity				
Further Controls or Action	Assurance on Controls/Actions			Target R/O Rating
<p>5. The Organisational Development Strategy (Delivery Plan) includes the following actions:</p> <p>6. Staff Survey being delivered including questions relating to communication/change/leadership/ job security/staff well being/training and development (November 2011)</p> <p>7. External Analysis of Staff Survey responses in particular in relation to Change Management feedback will be used to ascertain other necessary actions (January 2012)</p> <p>8. Drive Proactive Internal Communications campaign to all staff to make aware of change</p> <p>9. Development and delivery of Development Programme (November 2011- July 2012)</p> <p>10. Review of support programme for staff at risk and managers dealing with change (November 2011)</p>	<p>7. Report to CHRECC and Directors Board (January 2012)</p> <p>8. Monitored through HROD SMT with verbal/written updates to CHRECC as appropriate</p> <p>9. Monitored through HROD SMT with verbal/written updates to CHRECC as appropriate.</p>			48
Progress /Developments - Further Controls/actions 31/03/2012				Residual Rating 31/03/2012
6. Staff survey completed - analysis and action plans being progressed.				72
7. Report on corporate actions being presented to CHRECC in March following staff engagement programme. Managing change identified as a key issue from the survey - actions to be incorporate in Council/service responses.				
Progress /Developments - Further Controls/actions 30/06/2012				Residual Rating 30/06/2012
1. & 3. Following an increase of Stress Absence a report and action plan was approved by DB, one of these actions was to complete a three month programme of risk assessments to				

Progress /Developments - Further Controls/actions 30/06/2012

Residual
Rating
30/06/2012

identify management action plans of areas of concern. This is now monitored by CHRECC.

4. "Lessons Learned" workshop held to review Transformation programme. Management, governance and resourcing being reviewed, particularly in light of the resignation of the Director of Transformation. "My dashboard developing a proactive approach to the engagement of staff in the implementation of Oracle."

72

6. & 7. Follow-up themed staff survey workshops held in May 2012 including 'Managing Change' session. Internal analysis of staff survey results/responses completed and key areas for action identified. Discussions and notes from workshops circulated to all participants and to be published on Inform. Outcomes and actions to be collated and presented to CHRECC.



Corporate Risk 7
Contract Management Consistency

Key to Rating Scores:
 ▲ **RED** = 64-100 = High Priority
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Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
I Critical	B High	I Exceptional
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IV Negligible	E Very Low	IV Minor
	F Almost Impossible	

Description					Lead Officer	Date Identified	Target End Date
Corp Risk 7 - CONTRACT MANAGEMENT CONSISTENCY: contract management arrangements across the Council are not consistent leading to agreed levels of service delivery and expected outcomes not being achieved. This leads to contractual/legal disputes including potential financial, legal, political and reputational repercussions, particularly if relationship falters or contract fails. This will result in further service delivery pressures and resident dissatisfaction.					Byatt, Nigel	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	80	80	80	80	▲		
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	▲		
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. No current actions in place to resolve consistency issue							80
Target Risk/Opportunity							
Further Controls or Action				Assurance on Controls/Actions			Target R/O Rating
2. Initiate an Organisational Development programme with Council Services, Procurement Board and legal to investigate options for a corporate and more consistent approach to contract management (Sept 2012)							48
3. Develop and implement new model (April 2013)				2. Procurement Board to oversee development and to monitor progress.			
4. Develop Training delivery options (internal/External, Scope, etc) - Sept 2013							
5. Deliver Training/briefing sessions Date (Dec 2013)							
Progress /Developments - Further Controls/actions 31/03/2012							Residual Rating 31/03/2012
2. Discussions commenced with Organizational Development to incorporate Contract Management training in the Leadership Framework.							80
Progress /Developments - Further Controls/actions 30/06/2012							Residual Rating 30/06/2012
As previous							80



Corporate Risk 8
Data Quality

Key to Rating Scores:
 ▲ **RED** = 64-100 = High Priority
 ● **AMBER** = 32-63 = Medium Priority
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Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 8 - DATA QUALITY: Without the external auditing inspection regime which used to be carried out by the Audit Commission a lack of adequate internal arrangements leads to the Council's Data Quality guidelines being inconsistently followed and quality assurance being Limited. This could lead to decisions being made based on inaccurate and/or misleading information. This could lead to additional/unexpected service pressures resulting in poor delivery of the Council's objectives/services, poor customer satisfaction and loss of reputation.	Stephenson, Chris	30/09/2011	30/04/2012

	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	40	36	36	36	●
RM02 Impact	Marginal/Moderate	Marginal/Moderate	Marginal/Moderate	Marginal/Moderate	●
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. Data Quality Guidelines were produced as part of the Performance Management Framework(PMF) in 2008 Current Guidelines detail roles and responsibilities at all different levels and that it is everybody's responsibility to ensure that data is accurate 2. Annual PI Audit returns completed and submitted each May 3. Regular monthly reports on corporate scorecard and service scorecards from April 2011 onwards.	1. Guidelines signed off by Performance Board and CMT (Directors Board)and are based on best practice advice from the Audit Commission 2. Each return is signed off by the lead and the Head of Service including a statement confirming the data quality. Internal Audit carry out spot checks on a small number of indicators. 3. Corporate scorecard presented to Performance Board, Directors Board and Cabinet and Quarterly to Corporate O&S for scrutiny. Service scorecard presented to individual DMT/SMT	36

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
4. Corporate Performance to lead and develop new DQ Standards by January 2012 5. Corporate Performance to undertake a diagnostic "self- assessment" of the Council against these new locally defined DQ standards, with the assistance of Performance Board and Internal Audit - report to be presented to Performance Board 1st February 2012 6. Corporate Performance to draft an action plan for approval by Performance Board on 5th March 2012 with resourcing implications identified. 7. Corporate Performance to work with Internal Audit to consider best use of their expertise in ascertaining robustness of data quality arrangements within services December 2011 - March 2012 8. Refresh and communicate the Data Quality Guidelines to incorporate new DQ standards and Action Plan by 1st April 2012 in time for the Annual Audit 9. Annual PI Audit returns May 2012 10.Internal Audit undertake spot check analysis on individual corporate KPIs - May/June 2012 11.Re-self assess to gauge progress against standards and identify any potential gaps in September 2012 with recommendations to Performance Board in Oct 2012.	4. Reviewed by Performance Board on 4th January 2012 with recommendations to Directors Board 5. Reviewed by Performance Board 1st February 2012 6. Reviewed by Performance Board 1st February 2012 with recommendations to Directors Board 7. Performance Board to recommend to Directors Board how best to use resource 8. Action Plan to be monitored by Performance Board, with formal auditing arrangements through Internal Audit and audit finding reports to Performance Board 10. Audit finding reports to Performance Board 11. Reviewed by Performance Board October 2012 with recommendations to Directors Board	20

Progress /Developments - Further Controls/actions 31/03/2012	Residual Rating 31/03/2012
4. New Data Quality guidelines drafted January 2012. Decided that new guidelines will be submitted to Performance Board as part of the wider PM Framework refresh. This is due to be finalised and in place by beginning of the new municipal year (1st April 2012). 5. The effect of 4 will put back the completion date for action 5 to May 2012 in time for the Annual PI Audit.	36

Progress /Developments - Further Controls/actions 31/03/2012	Residual Rating 31/03/2012
6. The effect of 4 will put back the completion date for action 6 to May 2012 in time for the Annual PI Audit. 7. The effect of 4 will put back the completion date for action 7 to May 2012 in time for the Annual PI Audit.	
Progress /Developments - Further Controls/actions 30/06/2012	Residual Rating 30/06/2012
<p>Action Plan for Data Quality has been reviewed following the service planning process: Current Controls or Action:</p> <ol style="list-style-type: none"> 1. Once Corporate Scorecard 2012-13 has been signed off all KPIs need to have a refreshed PI definition document to ensure consistency and accuracy of data quality (April 2012) - this process was undertaken during April and May 2. Collate and communicate PI definitions for corporate scorecard (April 2012) - this process was undertaken during April and May 3. Manage process for Annual PI Audit returns May 2012 - services had until 18th May to return all KPIs definition and audit returns <p>Further Controls or Action:</p> <ol style="list-style-type: none"> 4. Arrange with Internal Audit to undertake spot check analysis on individual corporate KPIs - May/June 2012 - This will take place the two weeks commencing 28th May 5. Following feedback from Internal Audit draft an action plan for approval by Performance Board with resourcing implications identified to address any issues identified by the audits - July 2012 6. Lead and develop refreshed/new DQ Standards - August 2012 7. Work with Internal Audit to consider best use of their expertise in ascertaining robustness of data quality arrangements within services - Summer 2012 8. Agree refreshed and communicate the Data Quality Guidelines to incorporate new DQ standards and Action Plan - Sept 2012 9. Self assess to gauge progress against standards and identify any potential gaps with recommendations to Performance Board ready to implement before end of year Audit for 2012-13 - Autumn 2012 	36



Corporate Risk 9
ICT Infrastructure

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 Opportunity 10
MSTAIR

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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
Risk Corp 10 - MSTAIR: Following implementation, some services continue to use direct approach method for their temp/agency/interim staff leading to significant overspend on staffing costs, leading to potential breach of AWR legislation and resultant claims and additional unmanaged costs, and reputational risk for future staff. Additionally, this initiative makes up a considerable proportion of the Council's efficiency programme. If services do not fully adhere to the new arrangements the overall total of savings will not be realized leading to further unanticipated savings needing to be made to services.					Bulmer, Tony	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	72	20	8	8			●
RM02 Impact	Substantial/Major	Marginal/Moderate	Marginal/Moderate	Marginal/Moderate			●
RM03 Likelihood	High	Low	Very Low	Very Low			●
Current Risk / Opportunity (residual R/O Rating)							
Current Controls or Action			Assurance on Controls/Actions				Residual Rating 31/12/2011
1. Developed managed phased transition arrangements with Comensura - Start date for contract is early/mid December 2011			1. Full Project Management approach with regular timeline and milestone monitoring.				20
2. Communicated and engaged with key stakeholders from onset of project Sept onwards.			2. Monthly monitoring through Directors Board Steering group developed to represent key users and feed back progress/capture requirements				
3. Develop clear definitions around what constitutes a temp with process maps supporting the identification of a temp - Nov to Dec 2011 in progress.			3. Process map and definitions to be linked to revised Temporary Agency Staff policy document				
Target Risk/Opportunity							
Further Controls or Action			Assurance on Controls/Actions				Target R/O Rating
4. Cancel existing Purchase Orders with current agency suppliers - Dec 2011 to Jan 2012.			4. Existing purchase orders will be cancelled and finance will monitor spend against Agency subjective, agency providers.				8
5. Training for all hiring/timesheet managers (December 2011)			5. Developing Together are managing and monitoring training attendance				
6. Communicate with all staff and ensure all "recruiting" managers are aware of and understand new arrangements - Dec 2011			7. No specific controls being developed for this. This is an opportunity and managers will be expected to take the lead and be proactive				
7. From December 2011, Services have access to detailed usage reports and spend analysis							
Progress /Developments - Further Controls/actions 31/03/2012							Residual Rating 31/03/2012
1. Implementation project completed on schedule (12th December 2011). Continuing to monitor bedding in process and pick up actions held over from project.							8
2. Communications completed for implementation, ongoing communications with key stakeholders to ensure new method of working is embedded into normal day-to-day activities and full benefits are achieved.							
3. Temp definition process map approved and published on Councils intranet December 2011.							
4. Purchase Orders with existing temp supply agencies not cancelled following comments from FAST team about increased workloads as not all PO's solely relate to temp placements. These are however, being monitored regularly and any issues picked up with service managers and Comensura.							
5. Training completed for all users that responded to training offer December 2011. Review of further training requirements for new users to be undertaken in March 2012 to see if this is required or existing users are able to train new users.							
6. Communication issues to all managers and C-NET users in December to confirm start date and new arrangements.							
7. Detailed reports are available from the Comensura C-NET system to all users as a matter of course.							

Progress /Developments - Further Controls/actions 30/06/2012

Residual
Rating
30/06/2012

1. Off Contract spend identified for Jan 12 - Mar 12. Services being approached directly to confirm what spend relates to and to remove any unapproved Off Contract spend (Support by DB 8/5/12)
2. Exceptions to Comensura temps to be monitored by Lindsey Francklin/Richard Waterhouse and reported to DMT/DB monthly.
5. High proportion of Auto Approved timesheets identified - Services identified by approached to review training requirements, C-NET structure review to ensure all timesheets are reviewed and by appropriate staff.
6. Comms to be distributed to outline responsibilities of managers and approvers.

8



Corporate Risk 11 Procurement Compliance

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 11 - PROCUREMENT COMPLIANCE: Non-compliance with the Procurement Strategy - A Service enters into a contract with a supplier without understanding and/or adhering to the Procurement guidelines. This leads to legal/contractual challenge and resultant financial claims, reputational damage, lack of transparency/due process and possibility of not benefitting from agreed economies of scale/preferential rates and subsequent lost opportunity for savings					Byatt, Nigel	30/09/2011	31/03/2012
Inherent Rating		Residual Rating 31/12/2011		Residual Rating 31/03/2012	Residual Rating 30/06/2012		Latest RAB
RM01 Rating	80	48	48	48	48	48	●
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	▲
RM03 Likelihood	Very High	Low	Low	Low	Low	Low	●
Current Risk / Opportunity (residual R/O Rating)							
Current Controls or Action					Assurance on Controls/Actions		Residual Rating 31/12/2011
1. Procurement Strategy in place including the clear constitutional and legal rules (eg OJEU) July 2010 2. Constitution Training delivered including Procurement rules July 2010 onwards 3. Procurement Training delivered as part of the Developing Together programme Apr 2010 onwards 4. Procurement Board in place Apr 2010, with regular 'highlights' report from Head of Procurement June 2011. 5. Legal and Procurement Teams working together to ensure contracts which have been passed to Legal ready for signing have been through the correct procurement process Mid 2011 FAST team are now part of the Procurement Team and regularly review payments going through system to ensure that contract values are appropriate for the procurement/tender process they went through Mid 2011					4. Chaired by Head of Finance, actions agreed and minuted 6. Regular monitoring by FAST team		48
Target Risk/Opportunity							
Further Controls or Action					Assurance on Controls/Actions		Target R/O Rating
7. Review of Procurement Training process by Apr 2012 8. Head of Procurement to be asked to undertake an analysis of which officers have been on constitution/ procurement training since the process was re-written. by Jan 2012 with report to Procurement Board Feb 2012 9. Investigate Additional Training options - Date to be confirmed 10. Liaison with HR/OD to include Procurement guidelines, roles and responsibilities within the Managers Handbook - May 2012					8. Report to Procurement Board 10. Managers Handbook will be considered by Directors Board		48
Progress /Developments - Further Controls/actions 31/03/2012							Residual Rating 31/03/2012
7. Under development with Legal and to be incorporated in the training programme for the Constitution. 8. Head of Procurement has resigned and this is being addressed by Vertex but will delay initiatives. 10. Discussions commenced with Organizational Development to incorporate Procurement training in the Leadership Framework.							48
Progress /Developments - Further Controls/actions 30/06/2012							Residual Rating 30/06/2012
8. New Head of Procurement to start on 8th May 2012 - one of the first issues is to agree scope of procurement offering through Vertex. This issues was identified and monitored from Nov 2011 and remains a low level risk. The positioned is strengthened with the appointment of a new head of procurement. Target rating achieved and risk removed from Corporate Register and to be monitored at Department level.							48



Corporate Risk 12 Sickness Absence

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 12 SICKNESS ABSENCE: Levels of sickness absence in the Council have been consistently high and despite several initiatives to reduce levels and fulfill our duty of care remain a significant problem to service delivery. High levels of sickness, particularly long term sickness, are also damaging to the morale and wider health and well-being of staff, creating additional pressure to colleagues required to cover for absent colleagues. There is also a significant cost pressure related to sickness absence.	Hinchliffe, Jackie	30/09/2011	31/08/2012	
Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	80	72	72	72 ▲
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major ▲
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. Monthly HR Management Information Packs given to all Heads of Service - Apr 2010 onwards 2. Mandatory Training for People Managers on Promoting Positive Attendance - July 2011 onwards. 3. New Contract with DHS to provide nurse contact centre - Aug 2011 onwards 4. Regular monitor of the 'case management' of long term sickness cases through HR client meetings. 5. Ongoing liaison between HR Advisors and DMTs/HOS - Apr 2010 onwards 6. Average sickness and long term sickness are indicators within the corporate scorecard for 2011-12 and as such are monitored and scrutinized on a monthly basis by Performance Board - Apr 2011 onwards 7. Corporate HR, Equalities and Cultural Change Board meet monthly - Sept 2011 onwards	1. Monthly meetings with DMTs 2. Course attendance being monitored by Developing Together and reported to Directors Board 3. Regular monitoring meetings between Vertex, HROD and DHS. DHS have committed to reducing sickness by 10% or face financial penalties 4. Monthly meetings with HR 5. Monthly meetings with DMTs 6. Performance Board consider the sickness data on a monthly basis and recommend whether the issue needs to be highlighted to Directors Board, and then further to Cabinet and Corporate O&S 7. Standing item on CHRECC and agreed actions incorporated into minutes of the Board	72

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
8. A report on Absence Management with particular reference to Stress related absences is being prepared along with an action plan (December 2011) 9. Further analysis of data following implementation of new DHS reporting mechanisms, including trend analysis -from November 2011 10. Staff Survey delivered including questions relating to health and well being of staff (survey in November, results in December/January) 11. HR to work with services to ensure that there are contingency plans for key staff being absent from work(ongoing) - April 2010 12. Delivery of Actions within the HR/OD Work Plan including: - Implementation of the DHS nurse contact centre reporting (November 2011) - Automatic Trigger management via DHS system to managers (December 2011) - Dedicated Nurse Contact for each Long term sickness case (November 2011) 13. (Note: Andrew Murphy lead responsible officer for this action) Maintain and improve the management of Sickness Absence in the Waste Team, including: - Ongoing management of individual instances of sickness according to the triggers and timeframes detailed within the Council's sickness policy. - Ongoing regular meetings with HR advisor to review all cases - Ongoing production of detailed monthly report to identify the key causes of sickness, trends and sickness levels across the whole department.	8. Being presented to Corporate Health & Safety Group, Corporate HR, Equalities and Cultural Change (CHRECC) Group in December 2011 and Directors Board in January 2012 9. Monitored through HROD SMT with verbal/written updates to CHRECC as appropriate 10. Report to CHRECC and Directors Board (January 2012) 11. Monitored through HROD SMT with verbal/written updates to CHRECC as appropriate 12. Monitored through HROD SMT with verbal/written updates to CHRECC as appropriate. 13. Monthly reports distributed to and monitored/reviewed by Head of Department, Service Managers, Operation Managers and Team Leaders. Monthly review meetings attended by Head of Department, HR representative and Service Managers.	64

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
<ul style="list-style-type: none"> - Ongoing monitoring of sickness within individual teams. - Work with HR to understand what changes to the Council's sickness policy could be piloted from Feb 2012 within the waste team to allow for more effective management of sickness incidents amongst frontline staff. 		
Progress /Developments - Further Controls/actions 31/03/2012		Residual Rating 31/03/2012
<p>8. Stress report presented to DB in January - all recommendations agreed including monthly report to CHRECC. Bids submitted for funding to support implementation of recommendations.</p> <p>10. Staff survey undertaken - analysis and action plans being progressed.</p> <p>12. DHS Trigger Management being implemented in February. Additional management training being delivered - dates to be confirmed.</p> <p>13. The Long term and short term sickness is being managed as closely as possible in accordance with Thurrock Council Policy and Procedures and line managers are receiving ongoing coaching and support from HR to address this in an appropriate way. In addition, a pilot is due to be started in the Waste Collection Service to help to reduce short term sickness absence. This will include asking employees to provide a 'fit note' for every bout of sickness, more contact from DHS when an employee is absent, as well as tightened protocols in the DHS processes and employees to also discuss their absence with their supervisor. This will be trialed for a period of time with longer term procedures being considered dependent on the outcome of the pilot.</p>		72
Progress /Developments - Further Controls/actions 30/06/2012		Residual Rating 30/06/2012
<p>8. Recommendations from stress report in progress. Final elements of action plan scheduled for completion by July 2012. Monthly stress absence analysis report is now standing item at CHRECC. Full time (1 year) OH Nurse appointed in March 2012 to replace external service - role will incorporate stress management audit.</p> <p>10. Staff survey follow-up workshops held, including 'Health & Wellbeing' staff engagement workshop in May 2012. Outcomes to feed into overall staff survey action plan and well-being strategy.</p> <p>12. DHS trigger management & guidance delayed due to system testing problems but went live at the end of May 2012. Accompanied new policy on sickness absence management (live 1 April 2012) and managerial briefing sessions. Additional training for managers being arranged.</p> <p>13. All employees in the Waste Team are required to follow the sickness management protocol introduced in April 2012</p> <ul style="list-style-type: none"> - A doctors certificate to be provided from day 1 of each sickness absence - Notification of both DHS Nurse and workplace supervisor/line manager for each sickness absence - Contact supervisor/line manager by 3pm on day before return to work - All sickness absence managed through Thurrock sickness management policy and procedures including new trigger levels. 		72



Corporate Risk 13
SSP Savings

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 13 - SSP SAVINGS: Discussions, contractual issues and commercial negotiations with Vertex do not reshape the partnership for mutual benefit by helping drive savings (£1million in 2012/13) and transform service delivery	Byatt, Nigel	30/09/2011	30/09/2012
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012
RM01 Rating	80	72	64
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major
RM03 Likelihood	Very High	High	Significant
			Residual Rating 30/06/2012
			20
			Marginal/Moderate
			Low
Current Risk / Opportunity (residual R/O Rating)			
Current Controls or Action	Assurance on Controls/Actions		Residual Rating 31/12/2011
1. Strategic dialogue between Vertex and Council at Managing Director and Board level 2. Already delivering new ways of working eg new commercial arrangement for cost/benefit and project management for ERP project 3. Recent KPI Review 4. Re-alignment of POB scope and attendees	1. Partnership Governance arrangements (Contractual/Commercial) - POB, PMB, etc		72
Target Risk/Opportunity			
Further Controls or Action	Assurance on Controls/Actions		Target R/O Rating
5. Review SSP contract to ensure the Council has sufficiently robust arrangements in place to properly manage the commercial contract and if/where necessary enact default mechanisms against contractual obligations (Sept 2012) 6. In negotiation with partner and subject to commercial discussions, reshape the SSP contract to optimize Vertex strengths and re-aligned to Council needs (Sept 2012 & Ongoing)	5-6. Monitoring of delivery and savings through the Governance arrangements for the Transformation Programme (i.e. various boards)		20
Progress /Developments - Further Controls/actions 31/03/2012			Residual Rating 31/03/2012
5&6. Proposals and Council stance have been shared with Vertex for them to respond - Vertex have already agreed that the "Simpler" activities should be re-shaped/scoped in advance of the more complicated (e.g. Insurance).			64
Progress /Developments - Further Controls/actions 30/06/2012			Residual Rating 30/06/2012
5&6. Savings profile agreed with Vertex and Strategy to mitigate savings gap agreed. Some services (e.g. insurance) reviewed and transferred back to the Council			20



Corporate Risk 14
Adult Social Care - Quality v Cost

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 14 - ADULT SOCIAL CARE COST & QUALITY: Balancing the cost of care and maintaining minimum quality standards - Risk that: reduction in the funding/investment for residential and other care together with continuation of current strategy of zero-uplifts to 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.	Rowlands, Rhodri	30/09/2011	30/04/2014

	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	100	90	80	80	▲
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲
RM03 Likelihood	Very High	High	Significant	Significant	▲

Current Risk / Opportunity (residual R/O Rating)

Current Controls or Action	Assurance on Controls/Actions	Residual Rating 31/12/2011
1. Contract compliance monitoring and audit function in operation across externally provided services 2. Out of hours monitoring visits (as required on risk-proportionate basis) 3. Contract specifications in place include performance and outcomes requirements and minimum quality standards to be met 4. Information sharing meetings with CQC to identify and share concerns, risks (3 monthly) 5. Meetings with care providers (ongoing) 6. Focus on development and use of alternative care provision to residential (ongoing strategy e.g. intermediate care and reablement provision) 7. Ensuring reviews are undertaken - particularly in out of borough placements where Thurrock does not have the same level of control over contract compliance scrutiny as in borough (ongoing)	1. Contract visit records 2. Provider action plans 3. Correspondence with CQC and providers 4. Monitoring and user satisfaction data 5. Adult Safeguarding Board monitoring and minutes 6. Service user reviews 7. Regular monitoring by council and CQC	90

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
8. Identify a 'fair price for care' - council to work with region to establish common approach (2012-13) 9. Establish minimum quality standards across services to be achieved regardless of cost - part of regional contract standard work (Herts.lead) (2012-13) 10. Ongoing price negotiation work to achieve a fair price on high-cost placements (2011-12 and ongoing) 11. Market shaping and development of alternative provision for those with complex needs e.g. extra-care 12. Budget / growth strategy (strategy for future funding of care provision 2012-13)	8. Regional monitoring through regional improvement boards and DASS group 9. Monitoring of costs and placements to assess the impact of price negotiation	80

Progress /Developments - Further Controls/actions 31/03/2012	Residual Rating 31/03/2012
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1. Contract compliance visits continue to take place on a regular basis with a focus on homes with identified concerns. All homes and home care providers receive annual contract compliance visits with a follow up visit if required. Random sample visits are also carried out to service users in receipt of home care. The council's Contract Compliance Team monitor action plans in conjunction with the home and CQC where CQC involvement is required. Currently there are concerns with six homes in Thurrock, however four of these are minor. 2. Unannounced (including out of hours) visits are a key element of the Council's compliance and monitoring approach. 19 unannounced visits have taken place since January to several residential care homes. Cllr Fish (Portfolio Folder) visited two residential care homes on Saturday 18th February with Contract Officers to review standard of leisure activity and the outcome was positive. 3. Contract specifications are in place for externally provided services. These are subject to robust compliance and performance monitoring.	
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Progress /Developments - Further Controls/actions 31/03/2012	Residual Rating 31/03/2012
<p>4. Information Sharing meetings with the CQC are still ongoing on a quarterly basis. The last meeting to take place was the 17th January 2012.</p> <p>5. Meetings with care providers take place on a quarterly basis and are also scheduled where there are identified concerns. A Safeguarding Review Meeting was held with one home in February where there are concerns as part of the Council's continuous monitoring of the improvement plan. Provider meetings are held regularly. The adult residential care providers' meeting was held in February, the older people's residential care providers' meeting was held in December, and the Home Care providers' meeting was also held in December. All meetings were very well attended.</p> <p>6. The Council's Homecare Re-ablement service launched in December 2011. Additional capacity has been added into the Team until end of March. The Service will be evaluated in 2012-13. The Intermediate Care Strategy is being revised and a refresh is scheduled by end of March. A joint (health and social care) Rapid Response and Admission Avoidance team will be located at Thurrock Hospital for 2012/13 to target admission avoidance and joint response to emergency and crisis.</p> <p>7. Reviews prioritized according to risk and continue to be undertaken.</p> <p>8. The regional work on establishing a 'fair price for care' is currently in the preliminary stage, and will be influenced by the general fair price for care debate that is taking place at a national level.</p> <p>9. Regional work on the contract standards workbooks is continuing. The last meeting was held in December. A streamlined version of the workbook has been produced for Domiciliary Care and work is continuing to streamline the others. Once this work has been completed a series of pilots will be run in several Local Authorities to test the workbooks. The next meeting is due to be held in March.</p> <p>10. Commissioned reviews of high-cost placements in learning disability and residential placements. Draft reports received in February with recommendations to be addressed in service from March.</p> <p>11. Elizabeth Gardens extra-care housing development scheduled to open in September 2012. Following the South Essex Commission of Enquiry into cooperation between housing, health and social care two initiatives were agreed by Cabinet in December 2011 for further investigation. These focus on:</p> <ul style="list-style-type: none"> - An analysis of care pathways is needed to determine how best to implement a holistic housing, health and social care offer for older people, in conjunction with the Council's health and housing partners. - Feasibility studies will be needed to both: - Shape the planning guidance to stimulate the development of the homes needed by the Borough's ageing population, and - Consider how best to regenerate the sheltered housing stock so that it will meet the changing health and social care needs of residents as they grow older. <p>12. Budget / growth strategy to be planned and developed in 2012/13.</p>	80

Progress /Developments - Further Controls/actions 30/06/2012	Residual Rating 30/06/2012
<p>1. Contract compliance visits continue to take place on a regular basis with a focus on homes with identified concerns. All homes and home care providers receive annual contract compliance visits with a follow up visit if required. Random sample visits are also carried out to service users in receipt of home care. The council's Contract Compliance Team monitor action plans in conjunction with the home and CQC where CQC involvement is required.</p> <p>2. Unannounced (including out of hours) visits are a key element of the Council's compliance and monitoring approach. Six unannounced visits have taken place since April to several residential care homes. The new Portfolio Holder for ASC, Cllr Barbara Rice will be attending an unannounced visit on the 20th June with contract compliance officers. Also carried out two unannounced visits to supporting people services on 25th May - focus on staff feedback and user feedback.</p> <p>3. Contract specifications are in place for externally provided services. These are subject to robust compliance and performance monitoring.</p> <p>4. Information Sharing meetings with the CQC are still ongoing on a quarterly basis. Last meeting held on 31 May</p> <p>5. Meetings with care providers continue to take place on a quarterly basis and are also scheduled where there are identified concerns. A Safeguarding Review Meeting was held with one home in February where there are concerns as part of the Council's continuous monitoring of the improvement plan. Provider meetings are held regularly - these are next scheduled for June/July 2012. The adult residential care providers' meeting was held in February, the older people's residential care providers' meeting was held in December, and the Home Care providers' meeting was also held in December. All meetings were very well attended.</p> <p>6. The Council's Homecare Re-ablement service launched in December 2011. Additional capacity has been added into the Team. The Service will be evaluated in 2012-13. The Intermediate Care Strategy has been revised. A joint (health and social care) Rapid Response and Admission Avoidance team will be located at Thurrock Hospital for 2012/13 to target admission avoidance and joint response to emergency and crisis.</p> <p>7. Reviews prioritized according to risk and continue to be undertaken.</p> <p>8. The regional work on establishing a 'fair price for care' is currently in the preliminary stage, and will be influenced by the general fair price for care debate that is taking place at a national level.</p> <p>9. Regional work on the contract standards workbooks is continuing. The last meeting was held in December. A streamlined version of the workbook has been produced for Domiciliary Care and work is continuing to streamline the others. Once this work has been completed a series of pilots will be run in several Local Authorities to test the workbooks. The next meeting is due to be held in March.</p> <p>10. Commissioned reviews of high-cost placements in learning disability and residential placements. Draft reports received in February with recommendations to be addressed in service have been acted on March onwards</p> <p>11. Elizabeth Gardens extra-care housing development scheduled to open in September 2012. Following the South Essex Commission of Enquiry into cooperation between housing, health and social care two initiatives were agreed by Cabinet in December 2011 for further investigation. These focus on:</p> <ul style="list-style-type: none"> · An analysis of care pathways is needed to determine how best to implement a holistic housing, health and social care offer for older people, in conjunction with the Council's health and housing partners. · Feasibility studies will be needed to both: 	80

Progress /Developments - Further Controls/actions 30/06/2012

Residual
Rating
30/06/2012

- Shape the planning guidance to stimulate the development of the homes needed by the Borough's ageing population, and
- Consider how best to regenerate the sheltered housing stock so that it is will meet the changing health and social care needs of residents as they grow older.

12. Budget / growth strategy to be planned and developed in 2012/13.



Corporate Risk 15
Low Carbon Business Programme

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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
<p>Risk Corp 15 - LOW CARBON BUSINESS PROGRAMME: Thurrock Council is the Accountable Body for the Thames Gateway South Essex wide 'Leading a Low Carbon Business Programme' which commenced in October 2009 and finishes on 30 June 2013. The programme is funded by the East of England European Regional Development Fund (ERDF) and 9 partners including 5 local authorities, TTGDC, TLEA, Groundwork South Essex and NISP. Funding arrangements are as follows: £2.5 million ERDF contribution £1.7 million funding from partners £2.07 million funding to be leveraged from private sector partners</p> <p>Groundwork South Essex is a key partner with responsibility for the day-to-day delivery and management on behalf of Thurrock Council and all partners.</p> <p>Failure to develop robust management arrangements for the programme leads to a breakdown in the delivery of the project and leaves the Council open to criticism and financial penalties as the Accountable Body for the programme.</p>	Lambert, Clare	30/09/2011	30/06/2013

	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	80	48	48	48	●
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	▲
RM03 Likelihood	Very High	Low	Low	Low	●

Current Risk / Opportunity (residual R/O Rating)

Current Controls or Action	Assurance on Controls/Actions	Residual Rating 31/12/2011
<ol style="list-style-type: none"> Cabinet report requesting approval for TBC to sign Offer Letter with EEDA, to enter into a Partnership Agreement with 9 partners, & to enter into a Grant Funded Agreement with GWSE - Cabinet report submitted and signed off in November 2009. Recruitment of grant funded programme related posts- The Programme Manager and Programme Management Team members have been recruited by GWSE. TBC has recruited a Social Enterprise Officer & Compliance Officer. A short term contract has been offered for the Green Economic Development Officer & this has been accepted for delivery until March 2011 Partnership Agreement entered into between TBC and 9 partner organisations committing them to levels of match funding over a three year period.- Partnership Agreement signed off at the end of April 2010. Regular reviews of Partnership Agreement and GFA - Accountabilities and potential claw-backs are clearly articulated in the Partnership Agreement. Intensive programme monitoring takes place at quarterly Green Business Partnership meetings. Monthly performance meetings occur internally for the accountable body staff. Monthly performance meetings occur between Thurrock and GWSE to monitor performance, assess strategies and mitigate risks. Monthly, quarterly and annual finance returns will be activated in 2011, as reflected in the GFA. DCLG re-profile discussions initiated in July 2011 and project change request, re-profiled financial tables and amended Business Case sent to DCLG on 28/11/11 for December panel submission. Legal correspondence confirming partners requests for match funding and output reductions received from all partners as part of re-negotiation process by 28/11/11 Thurrock Legal department have been working closely with the ERDF team in managing this process. Monthly GoG and PMT continue, and bi-monthly GBP Programme Management processes and procedures for the Accountable Body established. Many processes and procedures have been developed to control and manage the Low Carbon programme. The grants strand of the PMT agreed with EEDA December 2010. The finance instructions for the programme submitted to EEDA February 2011. EEDA have adopted Thurrock's Grant Manual and associated processes as an example of best practice across the ERDF programme Revise programme level work plan - A process is in place to review and update the Work Plan on a quarterly basis. The Partnership Work Plan is scrutinised on a bi-monthly basis and progress reports are submitted to the governing GBP at this frequency. Following the Budget Review by partners in light of the CSR a new programme level work plan will be secured from partners to ensure delivery over the next financial year. - Completed Apr 2011. Quarterly claims and payment process for ERDF established with EEDA. Regular claim and payments ongoing. Internal Audit and Scrutiny of Programme - No major risks identified in initial feedback from internal audit - Dec 2010 EEDA Audit of Programme - EEDA audit conducted in February 2011. ERDF monitoring officers praised the programmes systems, monitoring methods, audit trails 	<ol style="list-style-type: none"> Report to Cabinet Quarterly review at Green Business partner Meetings. Monthly review by Thurrock staff and GWSE. Bi monthly review by governing GBP. Review by Internal Audit Audit review by EEDA and scrutiny by DCLG 	48

Current Risk / Opportunity (residual R/O Rating)		
Current Controls or Action	Assurance on Controls/Actions	Residual Rating 31/12/2011
<p>and delivery procedures. A light touch remote audit was requested in September 2011 and this has been concluded. DCLG have advised that all outstanding action points from the February 2011 PEV visit have been satisfied. An external programme audit is planned for Q1 2012.</p> <p>11. Comprehensive Risk Management system established Apr 2010 to mitigate the risk to Thurrock Council as the Accountable Body and partners. Management Control Checks and the programme risk register continues to be monitored and updated on a monthly basis.</p> <p>12. Financial systems established April 2010 to monitor Match Funding Contributions achieved against operational forecasts. Monitoring Matched Funding Contributions by partner- Partners are required to achieve 60% of funding on a quarterly basis in order for TBC to call down 40% ERDF contribution and thus recover the operational costs incurred.</p> <p>13. Evaluate and review the ability of partners to deliver in the current fiscal environment. Due to cutbacks to local authority spending across local government a letter was sent to all partner Chief Executives in January 2011 to outline the commitments submitted over the past year and as a gentle reminder to ensure that the programme is incorporated into their budget planning for 2011/2012. A comprehensive programme re-profile was completed and submitted to DCLG on 28/11/11. This submission included all the required documentation and legal reassurances of the partners match funding and delivery to proposed reduction outputs. Further legal assurances were secured from all remaining partners on 28/11/11 and are retained on file.</p> <p>14. Compliance, Monitoring and Evaluation Frameworks developed to ensure compliance with ERDF rules and regulations. Robust and stringent compliance procedures have been embedded into the programme financial and operational procedures. The compliance officer has been in post for a year and regularly reviews the compliance dimensions of the programme. All the outstanding issues and instructions from the February 2011 PEV visit have been resolved</p>		
Target Risk/Opportunity		
Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
<p>15. Under the programme re-profile submitted to DCLG on 28/11/11 the realignment of delivery schedules, staffing profiles, management support and financial commitments is clearly defined and a robust methodology presented for the final period of delivery. Stringent measures have been introduced to balance the operational costs which have declined due to the shortfall in match-funding with the reduction in O2.3 Priority 2 Assistance output.</p> <p>16. Management support has been identified and a strong programme management team has been established across the delivery and accountable body. The proposed management structure has been embedded into the programme re-profile and submitted to DCLG for approval on the 28/11/11</p> <p>17. The programme re-profile was submitted to DCLG on 28/11/11 with the realignment of delivery schedules, staffing profiles, management support and financial commitments clearly defined and a robust methodology presented for the final period of delivery. Thurrock Legal Services have been closely involved and consulted in the re-negotiation procedure.</p> <p>18. Thurrock's 2012 work-plan has been developed and final approval with be conducted in December 2011. All outputs and results are exceeding target expectations with the single exception of the O2.3 Priority 2 Assistance aspiration. A robust correction plan involving the expansion of the cross partner Green Business Partnership and the allocation of GWSE delivery resources to Thurrock specific outputs has been developed for implementation</p>	17. Review by DCLG	48
Progress /Developments - Further Controls/actions 31/03/2012		Residual Rating 31/03/2012
<p>2. All programme related posts are in place and actively involved in the delivery of the LCB programme. 2 posts have been filled on Oct and Nov 2011 for a conference intern in partnership with Anglia Ruskin University and a Business Admin apprentice which was recruited through a thorough interview process to help with the delivery of Thurrock related delivery and activities of the Programme.</p> <p>4. The programme is monitored at regular monthly & quarterly intervals to make sure that the progress is in line with the agreement and all partners are adhering to their match funding commitments. The Project Manager and Compliance Officer along with assistance from the Programme Manager at GWSE review progress against the agreement. The Compliance Officer updates the monthly finance table that tracks the financial performance of the partnership as per the agreement.</p> <p>6. The Programme Management processes and procedures are robustly followed by the Accountable Body. Procedures are in place for monitoring the grants strand of the programme. The Compliance officer reviews all the grants request from GWSE that have been submitted by the SME's to make sure that all required evidences are in place before the grants are defrayed by the Accountable Body. Any non compliant material is returned and grant payment is held back until compliant material is submitted. The grants programme manual is version controlled and updated on a regular basis by the Programme Management Team as required.</p> <p>8. The Quarterly claims have now been changed to Monthly following a request from the ERDF monitoring team at DCLG. The Compliance Officer at Thurrock compiles the Monthly operational claims making sure that all the expenditure claimed is compliant and within ERDF guidelines. These claims are all submitted through secure delivery and the ERDF Team at DCLG are notified everytime they are sent the documents to make sure safe receipt of the claims. All claims until December 2011 have been submitted, and the January claim will be finalized and submitted within the next five days.</p> <p>9. Following the Internal Audit in Dec 2010 where no major risks were identified an external finance specific audit of the programme is planned in Q2 2012, this requirement is enshrined in the offer letter with EEDA / DCLG.</p> <p>10. The DCLG carried out an audit of EEDA's audit from Feb 2011 in Feb 2012 following the merger of EEDA into DCLG to obtain assurance of EEDA's audit work of the programme. No report is expected from this activity as it is deemed as an internal, confidential certifying authority activity.</p> <p>11. The Programme Risk register and the Monthly Management Control Checks are updated on a monthly basis.</p> <p>12. The Project Manager and Compliance Officer at Thurrock update the Match funding contributions from all partners on a monthly basis to make sure that they are adhering to their agreement.</p> <p>14. The Compliance Officer regularly reviews and updates the partnership on any new changes within the ERDF guidelines while providing assistance to any compliance queries across the partnership.</p>		48

<p>Progress /Developments - Further Controls/actions 31/03/2012</p>	<p>Residual Rating 31/03/2012</p>
<p>15-17. The Programme's re-profile budget and the revised business case was submitted to DCLG and was agreed by the CDG in Jan 2012 with reduced outputs, results and reduced match funding commitments from across the partnership. The programme will now run until December 2013. A new revised offer letter with the reduced Outputs, Results and match funding targets has been delivered and signed by Thurrock Council as the Accountable Body. While the overall value of the programme still stands at £6.3m with the match funding commitments being reduced, the grants strand of the programme has received a boost with an extra £300k to give out to SME's across the Thames Gateway South Essex Region. 18. A comprehensive 2012 delivery programme wide work-plan has been implemented across the authorities. The PMT make sure that the work plan is adhered to by the partners at the GOG and GBP meetings. Work towards achievement of Thurrock specific outputs is progressing well with support from the Management team at Thurrock and the extra resources we have been able to recruit and retain following the Thurrock Business Conference.</p>	
<p>Progress /Developments - Further Controls/actions 30/06/2012</p>	<p>Residual Rating 30/06/2012</p>
<p>1,3,&5. Partnership agreement signed off at the end of April 2010 between 9 partner organisations with the programme re-profile agreed by CDG In Jan 2012 with revised outputs and match funding commitments. A new revised offer letter has been received and signed by Thurrock Council in Jan 2012.</p> <p>4. The programme is monitored at regular monthly & quarterly intervals to make sure that the progress is in line with the agreement and all partners are adhering to their match funding commitments. The Regeneration Manager and Compliance Officer along with assistance from the Programme Manager at GWSE review progress against the agreement. The Compliance Officer updates the monthly finance table that tracks the financial performance of the partnership as per the agreement.</p> <p>7. Partners following a new workplan following submission of re-profile which was agreed by CDG. The PMT makes sure that the plan is adhered to by all partners at the GOG and GBP meetings</p> <p>8. Following a meeting with the ERDF monitoring team at DCLG in May 2012 the Monthly claims have now been changed back to Quarterly. This will take into effect from June 2012. The Compliance Officer at Thurrock compiles the Monthly/ Quarterly operational and grant claims making sure that all the expenditure claimed is compliant and within ERDF guidelines. These claims are all submitted through secure delivery and the ERDF Team at DCLG are notified everytime they are sent the documents to make sure safe receipt of the claims. All claims until March 2012 have been submitted.</p> <p>11. The Programme Risk register and the Monthly Management Control Checks are updated on a monthly basis.</p> <p>12. The Compliance Officer at Thurrock updates the Match funding contributions from all partners on a monthly basis to make sure that they are adhering to their agreement.</p> <p>13. The programme re-profile has been agreed by CDG in January 2012 with reduced outputs and match funding commitments and the offer letter has been signed and received by DCLG.</p> <p>14. The Compliance Officer regularly reviews and updates the partnership on any new changes within the ERDF guidelines while providing assistance to any compliance queries across the partnership.</p> <p>2,6,9,10,15,16,17&18. As previous (Q4 March 2012)</p>	<p>48</p>



Corporate Risk 16
Business Continuity

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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.			
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012
RM01 Rating	100	60	100
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional
RM03 Likelihood	Very High	Low	Very High
Current Risk / Opportunity (residual R/O Rating)			
Current Controls or Action	Assurance on Controls/Actions		Residual Rating 31/12/2011
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
Target Risk/Opportunity			
Further Controls or Action	Assurance on Controls/Actions		Target R/O Rating
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
Progress /Developments - Further Controls/actions 31/03/2012			Residual Rating 31/03/2012
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
Progress /Developments - Further Controls/actions 30/06/2012			Residual Rating 30/06/2012
5. Following the role redesign above an officer has been identified to take forward business continuity work.			100



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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 17b Olympics Emergency Planning

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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
<p>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</p> <p>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</p> <p>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.</p>				<p>1-3 Regular reports to Director of Peoples Services and Directors Board by the Chair of the Olympics Group.</p> <p>3. Safety Advisory Group reports to the Olympics Group.</p>		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				4. Development of the event management plan for the torch relay is monitored by the Olympics Group		60
5. The Olympics group will liaise with council teams and partners to take the steps identified in each of the action plans identified above.				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.		
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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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.					
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	80	64	64	80	▲
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	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. 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
Target Risk/Opportunity					
Further Controls or Action	Assurance on Controls/Actions				Target R/O Rating
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
Progress /Developments - Further Controls/actions 31/03/2012					Residual Rating 31/03/2012
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
Progress /Developments - Further Controls/actions 30/06/2012					Residual Rating 30/06/2012
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

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.

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.

Further control/action identified:

10. Additional management depth within Council team to strengthen partnership management with an emphasis on service delivery in people's homes.

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.

80



Corporate Risk 19
Statutory Equality Requirements

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 19 STATUTORY EQUALITY REQUIREMENTS: The Equality Act 2010 creates a number of obligations aimed at promoting equality and improving the life chances of residents. 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.					DeAlyn, Samson	30/09/2011	30/04/2013
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB		
RM01 Rating	80	72	72	72	▲		
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	▲		
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. 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. Reviewed and agreed by the Corporate HR Equalities and Cultural Change Board (CHRECC), Directors Board and Council.				72
Target Risk/Opportunity							
Further Controls or Action			Assurance on Controls/Actions				Target R/O Rating
2. Annual Equality Report (statutory requirement) to set out how compliance with the duty has been met from January 2012.			4. Monitoring of progress against corporate equality plans by CHRECC 5. Monitoring of progress against the equality scheme by DB				16
3. Introduce new performance indicators from April 2012 to help monitor progress against the equality duty and associated requirements.							
4. Quarterly monitoring of the Implementation of all corporate equality plans by the Corporate HR Equalities and Cultural Change Board from April 2012							
5. Regular/quarterly monitoring by Directors Board and Scrutiny Committee from April 2012.							
6. Refresh the Equality Impact Analysis framework March 2012 to ensure all corporate policies and strategies meet equality requirements.							
Progress /Developments - Further Controls/actions 31/03/2012						Residual Rating 31/03/2012	
2. The Annual Equality Report identified that compliance with the equality duty is progressing but some concern around the extent to which equality impact analysis is being implemented. 6. A review will take place in March to examine the overall rate of compliance with the duty relating to impact analysis of policies and strategies which are developed by the Council.						72	
Progress /Developments - Further Controls/actions 30/06/2012						Residual Rating 30/06/2012	
3 - 6. Monitoring of progress across services is not evident and urgent work is taking place through meetings with HoS to ensure all key requirements are met. There are still some substantial risks that equality requirements are not being fully integrated into service plans and service delivery.						72	



Corporate Opportunity 20
Grays Community Hospital

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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	
<p>OppCorp 20 - GRAYS COMMUNITY HOSPITAL: The development of a Community Hospital in Grays by 2015 would lead to a new generation health and social care facility, which will provide a complementary range of primary health, social care, diagnostic and treatment services and will be a central hub for non-acute medical care at the heart of Grays.</p> <p>The Council is working closely with the DC and the PCT to assemble the land and to define the scope of the health and social care facilities potentially on offer.</p> <p>Finally, on almost all indicators of health outcomes within the JSNA Thurrock has poor outcomes with significant health variations. This service and facility will offer an excellent opportunity to improve health outcomes in Thurrock. However, due to the financial position of the PCT, the changed environment within health and the move of the DC into the Council this project is currently under review. That review will not be finalised until the middle of 2012.</p>	Harris, Roger	30/09/2011	30/04/2014	
Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	16	16	16	
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	
RM03 Likelihood	Very Low	Very Low	Very Low	
Current Risk / Opportunity (residual R/O Rating)				
Current Controls or Action	Assurance on Controls/Actions			Residual Rating 31/12/2011
1. Appointment of Council Senior Responsible Officer for Project February 2011 - Roger Harris 2. CSRO attendance at regular/quarterly meetings of the Grays Hospital Project Board meetings 3. Strategic meeting to discuss use of health assets held between CEOs of relevant organisations July 2011. 4. Close involvement of Overview & Scrutiny Committee (Health and Well Being) from inception of project due to political significance of this development. 5. This project remains a high priority for the local authority and its partners, however, as stated above, the changing environment - particularly for the PCT - means that the scope and scale of the project is under review from July 2011 and is due to be completed in the middle of 2012.	4. Review by Health & Well Being Overview & Scrutiny Committee. 5. The local authority is fully involved in the review of this scheme and in the wider development of the estates strategy for health partners.			16
Target Risk/Opportunity				
Further Controls or Action	Assurance on Controls/Actions			Target R/O Rating
6. The PCT is due to be abolished in April 2013 and local GPs through the emerging Clinical Commissioning Groups will take the lead for health commissioning. Thurrock Council is represented on the Board of Thurrock Managed Care which is the largest of the CCGs in Thurrock. 7. The PCT is continuing to review its whole estates strategy and alternative options - such as a scaled down facility which will meet affordable economic criteria is under consideration. This review will not be complete until the middle of 2012. This is a project where the Council has influence but not direct control. The original objectives of the project remain sound - the need to regenerate that part of Grays and the need to significantly improve the health of the population of Thurrock. The review outlined above, which the Council is directly involved in will test whether the best way to do this is through a project on the scale originally envisaged.	6. The local authority continues to work closely with the emerging CCGs to ensure there is alignment between our commissioning plans and those of GPs locally.			48
Progress /Developments - Further Controls/actions 31/03/2012				Residual Rating 31/03/2012
7. PCT to review its whole estates strategy and its ability to fund proposed new buildings, like the Grays Community Hospital. The review is scheduled to be completed by the middle of 2012 and a revised scheme proposed.				16
Progress /Developments - Further Controls/actions 30/06/2012				Residual Rating 30/06/2012
7. Discussions are ongoing with the PCT to get a declared position statement together over the future of this project and the future of the site. That will be complete over the next couple of months.				16



Corporate Risk 21
Carbon Management

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 21 - CARBON MANAGEMENT (FUNDING): Thurrock Council has signed up to the Carbon Trust's Local Authority Carbon Management Programme. The work on this programme contributes to the Council's overall strategy for Climate Change and its commitments under the Nottingham Declaration.					Lambert, Clare	30/09/2011	30/04/2013
Failure to develop robust project plans to meet the carbon saving target leads to a breakdown in the programme and/or funding arrangements, resulting in non-achievement of the carbon saving targets under the Nottingham declaration.							
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB		
RM01 Rating	80	64	64	64	▲		
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	▲		
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. Ensure regular meetings of the Carbon Management Team - Clear input from all departments through monthly meetings. May 2008 onwards - completed 2. Develop breakdown of emissions per department - Clear accountability from all departments and allocation of cost. Exercise completed Nov 2008 but gaps in data. 3. Review contract arrangements with Europa for energy management - Review with partners completed May 2008 to identify action to improve performance on energy management. 4. Consider and develop Salix funding application - Review of funding available to the Council and Vertex completed. Funding gap & short term options to fill the funding gap considered and completed May 2009. 5. Complete Project identification and prioritisation - List of requirement projects to meet the targets identified December 2008. 6. Complete Carbon Management Plan - Assessment of planned actions undertaken Year 1 projects completed - May 2009 7. Adopt carbon management plan - Climate Change report adopted by Cabinet 17/06/09 to meet the June deadline. 8. Carbon reduction commitment workshop to raise awareness of new legislation within the Council and its partners undertaken July 2010. Further work to engage some departments in the process to be picked up by the EMSG. 9. Develop business cases for resource to fill any funding gaps - Funding gap for the delivery of climate change work identified. - Option for funding includes prudential borrowing/Salix funding (see 4 above) to fill short term gap. Business case submitted and funding approved February 2010. - Identified that some parts of the plan contribute to economic regeneration and eligible for the allocation of LABGI funding. Business case submitted and funding in place January 2010. - Consider longer term solutions (growth bids) for climate change and energy management. (see below) - Audit and business case to outline the implications and way forward completed by ECC Apr 2011. Potential financial penalties if the Council does not comply with legislation and the plan to use Carbon Reduction Recycling Payment to fund the resource discussed with the Director of Corporate Governance & Finance April 2011. 10. Establish Energy Management Steering group - EMSG to oversee the delivery of EM Project and Salix funding spend. Group established and first meeting (workshop) undertaken in July 10. Initial meetings of the operational and strategic groups undertaken. Terms of reference and work programme established and reviewed from June 2010 onwards. 11. Register with the EA - Baseline information for Carbon Reduction Commitments registered with The Environment Agency September 2010. 12. Commission and deliver Salix funded projects - Review of funds spent carried out by Salix. Revised dates for commissioning and delivery of projects incorporated in the plan. Salix notified of the revised arrangements. Projects commissioned from February 2011 onwards. 13. Report CRC compliance to Environment Agency - Footprinting and annual report for CRC compliance July 2011. 14. Salix compliant projects now coming forward from Vertex/Europa. Meetings are held with Vertex/Europa on a weekly basis to maintain progress of potential projects coming forward. Meetings ongoing from April 2011.					7. Carbon Management Plan reported to Directors Board & Cabinet	64	

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
<p>15. We have been asked by Salix to report on where we are as overdue repayments had yet to be claimed. Finance asked to confirm payments have been made into Revenue and not Capital account - December 2011.</p> <p>16. Business Case has been put together for a £157,550 project. If not signed off by the Council and agreed by Salix by 24th Dec we will lose £150,000 funding. All Council staff who will need to agree and sign off project - December 2011</p> <p>17. Audit of Council (Partner) records by Salix - Ensure records are up-to-date and accessible in readiness for audit by Salix</p> <p>18. CRC report submitted ahead of deadline. From 2012 Allowances will need to be bought and surrendered, one allowance for each tonne of CO2 report (13,000 tonnes). As yet price of allowance not confirmed. CRC may wish to audit our records - Ensure records are up-to-date and accessible in readiness for audit.</p> <p>19. Internal Audit of arrangements to comply with CRC and requirements by April 2012.</p> <p>20. Environment Agency Audit of CRC arrangements and compliance with targets by April 2013.</p>		48
Progress /Developments - Further Controls/actions 31/03/2012		Residual Rating 31/03/2012
<p>15&16. Salix business case approved to deadline and remaining Salix funding payments secured Salix recycling payments underway but additional evaluation of projects delivery against forecast not yet complete.</p> <p>17. Internal audit of Salix programme not completed - requires action</p> <p>18-20. CRC costs confirmed as £12 per tonne for 2011-12. Budget growth for 2012-13 secured to cover escalator costs. CRC mock internal audit scheduled for March 2012. CRC compliance software review but identified as not appropriate, action require to identify an alternative approach</p>		64
Progress /Developments - Further Controls/actions 30/06/2012		Residual Rating 30/06/2012
<p>17. External audit of Council (partner) records of Salix programme undertaken - maintain records for future external audits</p> <p>18-20. CRC mock internal audit still be undertaken - requires action</p> <p>18-20. CRC compliance software review - requires action</p> <p>18-20 CRC database to record progress and to maintain internal records ahead of audit - requires action</p> <p>18-20 CRC submission for 2012 due July 2012 - requires action.</p> <p>18-20 CRC allowances to be purchased - requires action</p>		64



**Corporate Risk 22
Community Engagement**

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 identified.	90

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



Corporate Opportunity 23
Academy of Transport & Logistics

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 23 - ACADEMY OF TRANSPORT & LOGISTICS: The development of an Academy of Transport and Logistics will lead to high quality facilities for training new and existing workers for the sectors and will support the development of port, logistics and maritime industries linked to the London Gateway and Tilbury Port Expansion.	Billingham, Les	30/09/2011	31/12/2012
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012
RM01 Rating	20	80	80
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional
RM03 Likelihood	Very Low	Significant	Significant
Current Risk / Opportunity (residual R/O Rating)			
Current Controls or Action	Assurance on Controls/Actions		Residual Rating 31/12/2011
1. Appointment of Council senior responsible officer for project - Les Billingham, Head of Adult Services appointed as senior responsible officer for the project November 2011. 2. Establish Strategic Planning Group to develop and maintain strategic relationships with D.P. World and other key partners. Finalise terms and conditions for Strategic Planning Group - December 2011 in progress. 3. Working group established with D.P. World to identify potential skills sets for opportunities - June to Dec 2011 in progress 4. Confirm status of Thurrock as the preferred site for National Academy of Transport and Logistics. Confirmed by CLG - December 2011. 5. Standing agenda item on Community Skills Strategy Group which looks at the development of the skills agenda across Thurrock	2. Terms and conditions of group reviewed by the Chief Executive.		80
Target Risk/Opportunity			
Further Controls or Action	Assurance on Controls/Actions		Target R/O Rating
6. Develop communication plan to ensure that the key messages are being developed and cascaded throughout the local communities of Thurrock 7. Develop Operational Group with National Logistics Academy and other key partners - January 2012. 8. Operational Group to develop specification for training requirements - July 2012. 9. Secure capital funding for construction through collaborative partnership - from November 2012. 10. Procure training provider to deliver training specification - August 2012 - January 2013. 11. Provide training - Apr 2013.			100
Progress /Developments - Further Controls/actions 31/03/2012			Residual Rating 31/03/2012
2. Strategic Planning Group established. Group met Feb 2012 to agree focus of project and Ixion bid for funding agreed. 3. Working group has been established and includes both public sector and private sector representation. Business plan being developed to support the building of the national logistics academy. 4. Site confirmed by planning process - but some negotiation will be required in relation to the potential change of site to meet development needs. 5. Actioned at the recent community skills strategy group - who have recently undertaken some prioritization of work priorities to include skill development around logistics. 6. Discussed with head of Corporate Communications at Strategy group meeting 1st Feb 2012 - Team to develop and bring back draft for next meeting. 7 & 8. Group met on 13th Feb 2012 established clear deliverables and commitment from Council/Industry/Sector partners to build Academy in Thurrock and develop world class logistics training centre. Focus of project and Ixion bid for funding agreed. Benefit to Thurrock residents also agreed as priority -training specification will be developed by July 2012. 9. Exploring the development of a GTA which will enable employers to make capital bids to central government funding streams. 10. Ongoing - However initial bid developed via Delivery Unit and Ixion. 11. Ongoing			80
Progress /Developments - Further Controls/actions 30/06/2012			Residual Rating 30/06/2012

Progress /Developments - Further Controls/actions 30/06/2012

Residual
Rating
30/06/2012

1. Completed.
2. Strategic has met regularly to progress project. Strategic Group to focus on high level linkage of all employment opportunities in the local area through CEO contact with Dubai Ports, Port of Tilbury and Lakeside.
3. Initial meeting held with Ixion and the Assistant Chief Executive & the Port of Tilbury to map and timeline the employment opportunities at Port of Tilbury from Jan 2013 - this will be followed up with a meeting with colleagues on the operational group who have a lead for skill development to ensure appropriate training programmes are developed to meet employer led needs and provide a seamless timeline between initial training leading onto employment opportunities.
4. Completed.
5. Community Skills Strategy group have a standing agenda item re the key developments around logistics and have recently co-drafted an Information Advice & Guidance Strategy for Thurrock residents to ensure that local people are receiving impartial information advice and guidance re employment and training opportunities - working closely with colleagues in Job Centre Plus.
6. Head of Corporate Communications sits on Strategic Group and is developing a Communication Strategy to cover this work.
7. Operational Group has also met regularly and agreed to split into two separate work streams. The first will identify and agree a training specification for all aspects of Logistics. The second will focus of delivering the Academy.
8. See above.
9. Business case developed looking to establish Capital Funding in exchange for land, with Dubai Ports for in principal decision.
10. Procurement will begin once training specification is developed.
11. Ongoing.

80



Corporate Risk 24 Health Transition

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 24 - HEALTH TRANSITION: Savings required of the Primary Care Trust (PCT), shifting of health care commissioning to Clinical Commissioning Groups (CCG) and the transfer of Public Health responsibilities to the Local Authority leads to increased burden on the Local Authority and a fragmentation of local commissioning arrangements.	Armstrong, Ceri	30/09/2011	30/04/2013	
Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	80	72	72	72
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major
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. Regular meetings taking place with PCT through executive to executive meetings (monthly basis) as of April 2011 2. Part of Quality, Innovation, Productivity and Prevention (QIPP) work streams as of April 2011 and will continue until March 2013 3. CCGs represented on shadow Health and Well-Being Board (including Councilors and Officers - e.g. Leader of the Council, Portfolio Holder Children's Social Care and Health, Deputy Leader of the Opposition, Director People Services etc.) 4. Involvement with Clinical Commissioning Group authorisation process - via PCT Transition Board and via membership of the Thurrock Managed Care Clinical Commissioning Group Board - meetings on a monthly basis. 5. Establishment of a Public Health Transition Board chaired by the Chief Executive and a series of workstreams to manage the transfer by April 2013.	1-4. Regular review of new social care expenditure (either existing service users or new) - including at Panel 5. Local Authority sign off required for final PH Transition Plan and also overseen by PCT Transition Board.			72
Target Risk/Opportunity				
Further Controls or Action	Assurance on Controls/Actions			Target R/O Rating
6. Representation at PCT Transition Board by the Head of Commissioning 7. Additional involvement with CCGs as they progress through the stages of the authorisation process. This is a continuous process and has already commenced via involvement with the risk assessment stage.	6 & 7. Regular review of new social care expenditure (either existing service users or new) - including at Panel			48
Progress /Developments - Further Controls/actions 31/03/2012				Residual Rating 31/03/2012
5. Public Health Transition Board established and chaired by the Chief Executive with four work streams sitting underneath the board to manage the transfer by April 2013. Public Health Transition Plan in place. Project plan with milestones to be regularly reviewed by the Transition Board. Exercise being carried out to identify the value of Public Health contracts against the draft allocations for Thurrock which will help identify if the allocations are sufficient to deliver the Council's new Public Health responsibilities. 6. Council represented on the PCT Transition Board. 7. Additional involvement with CCGs and authorisation due to representation at CCG Board meetings. Discussions to take place with the PCT and CCG regarding the development of the commissioning support unit (which will provide support functions for CCGs).				72
Progress /Developments - Further Controls/actions 30/06/2012				Residual Rating 30/06/2012
5&6. Public Health Transition Board and its various workstreams are now fully operational, further guidance is being received from the DoH on the transition process. Thurrock and Southend have agreed to share a Director of Public Health as an interim arrangement. An SLA specifying how this will operate will be going to Cabinet in July. Work to identify the value and quantity of PH contracts that will be passing over to the PCT is not yet complete but should be finished by the end of July. Discussions have been held with Southend and Essex over those contracts we may want to jointly commission.				72
7. The Council has agreed that PH staff will move into the Civic Offices by 1st August and has agreed in principle that CCG staff will move in by 1st January 2013. This will facilitate better joint working and further mitigate any risk of commissioning becoming fragmented. (Completed by Roger Harris 19.6.12).				



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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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	90	▲
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲
RM03 Likelihood	High	Significant	Significant	▲
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. 2. Initial delivery already in train including Stationary (August), MFDs (April), Cashiers Closure (July), MSTAIR (December). 3. Finance will remove money from 2012/13 budgets once delivery has occurred. 4. Acceptance at Directors Board that this is a pan-Council Priority not just responsibility of the Transformation Directorate	1. Regular Staff Workshops 2. Review by Steering Group and Directors Board as Transformation Board. 4. Directors Board form part of the Transformation Board			80
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. 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.	5. Monitoring by Directors Board and Transformation Delivery Group.			80
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. 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.				80

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"> - 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. - Business Support (admin centralisation) delivery underway and project closure scheduled for Nov 2012. - MSTAIR project delivered and closed 30/4/12. - ERP Phase 1 (finance system) delivered 16/4/12. Phase 2 (HR/payroll) underway and on track. <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"> - A profile and apportionment of year one of the Programme's savings (£2.7m) has been produced and reported to June DB. <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"> - The Chief Executive is currently consulting staff and considering the options for the future delivery of the programme. <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"> - Item to be considered and discussed during Strategy Week 11 - 15/06/12. <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 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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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	▲
RM02 Impact	Substantial/Major	Critical/Exceptional	Critical/Exceptional	▲
RM03 Likelihood	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



Corporate Risk 26b
Enterprise Resource Planning (ERP) - Project

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 26b - ERP/ORACLE UPGRADE: Inadequate project/contingency planning lead to the project overspending and/or being delivered late preventing full benefits being realized, issues with year end accounts, disruption to service delivery and reputational damage.				Waterhouse, Richard	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	80	64	64	72	▲	
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	▲	
RM03 Likelihood	Very 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. 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.		64
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.		48
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						64
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.						72



Corporate Opportunity 27a Purfleet Regeneration Project

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 27a PURFLEET REGENERATION PROJECT: Development of 58.1 hectares of land in Purfleet to form a new town centre with new homes, employment opportunities, community facilities, open space. Potential benefits include up to 3000 homes and associated development including community facilities (primary school, health centre, and community spaces), retail, commercial, hotel, relocated rail station ticket office, open spaces, landscaping, highways and access. The development programme is expected to be about 15 years.	Lambert, Clare	30/09/2011	30/06/2014		
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB
RM01 Rating	72	72	72	72	▲
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	▲
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. 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 the MTFs to fund a 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.	72
Target Risk/Opportunity					
Further Controls or Action				Assurance on Controls/Actions	Target R/O Rating
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	80
Progress /Developments - Further Controls/actions 31/03/2012					Residual Rating 31/03/2012
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					72
Progress /Developments - Further Controls/actions 30/06/2012					Residual Rating 30/06/2012
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.					72



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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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	
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	▲
RM03 Likelihood	High	High	High	▲
Current Risk / Opportunity (residual R/O Rating)				
Current Controls or Action	Assurance on Controls/Actions	Residual Rating 31/12/2011		
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		
Target Risk/Opportunity				
Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating		
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		
Progress /Developments - Further Controls/actions 31/03/2012			Residual Rating 31/03/2012	
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	
Progress /Developments - Further Controls/actions 30/06/2012			Residual Rating 30/06/2012	
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 Opportunity 28
Lakeside Sub Regional Centre

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 28 - LAKESIDE SUB REGIONAL CENTRE: The strengthening of the Lakeside Sub-Regional Centre by diversifying and expanding into a mixed use centre by 2015 will lead to new business and employment opportunities, new dwellings and new educational, community, conference and exhibition facilities.				Millard, Andrew	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	80	80	80	80	▲	
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲	
RM03 Likelihood	Significant	Significant	Significant	Significant	▲	
Current Risk / Opportunity (residual R/O Rating)						
Current Controls or Action			Assurance on Controls/Actions			Residual Rating 31/12/2011
1. Appointment of Council senior responsible officer for project - Andrew Millard, Head of Planning & Transportation appointed as senior responsible officer for project. Presentation of project to HoS and Directors during strategy week, Jan 2011.			1. Role of officer agreed by Directors Board.			80
Target Risk/Opportunity						
Further Controls or Action			Assurance on Controls/Actions			Target R/O Rating
2. Further to adoption of Core Strategy, to work on progressing the Site Allocation Development Plan Document. Consultation on Site Allocation Development Document in Early 2012.						100
3. Continue to work with Stakeholder Group in developing the Lakeside vision.						
Progress /Developments - Further Controls/actions 31/03/2012						Residual Rating 31/03/2012
No further updates as at 13/02/12						80
Progress /Developments - Further Controls/actions 30/06/2012						Residual Rating 30/06/2012
2. Issues and options sites specific allocations development plan document (including the inset chapter on Lakeside) considered by Council 29 Feb and currently out to statutory consultation until 6 June.						80
3. The Strategic Planning Team has undertaken a number of workshops and continues to work with stakeholder groups to develop the Lakeside vision.						
Additional action/progress: 4. Develop and adoption of Lakeside Implementation and delivery supplementary planning document A planning application for extension of the regional shopping centre was submitted in Dec 2011 and is currently with the major project team. Report recommendations to committee not before June 2012.						



Corporate Opportunity 29 Tilbury Port Expansion

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 29 TILBURY PORT EXPANSION: Development of the Port of Tilbury to include the Tilbury Marshes will lead to new employment opportunities and ensure the future competitiveness of the port, which will contribute to the regeneration of the area.	Millard, Andrew	30/09/2011	31/12/2013
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012
RM01 Rating	64	64	64
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major
RM03 Likelihood	Significant	Significant	Significant
Latest RAB			
			▲
			▲
			▲
Current Risk / Opportunity (residual R/O Rating)			
Current Controls or Action	Assurance on Controls/Actions		Residual Rating 31/12/2011
1. Appointment of Council senior responsible officer for project Jan 2011 and project presentation provided to HoS and Directors during strategy week Jan 2011.			64
Target Risk/Opportunity			
Further Controls or Action	Assurance on Controls/Actions		Target R/O Rating
2. Recent decision by Secretary of State not to call in the application. Once approval is granted by TTGDC, an action plan will need to be drawn up with partners and the Port to ensure delivery.	2. Project lead to work with partners and Port on delivery plan.		80
Progress /Developments - Further Controls/actions 31/03/2012			Residual Rating 31/03/2012
No further updates as at 13/02/12.			64
Progress /Developments - Further Controls/actions 30/06/2012			Residual Rating 30/06/2012
1. Council lead for project transferred to Andrew Murphy, Director of Environment. Regular contact between Senior Officers of the Council and the Port.			64
2. Outline planning application considered by DC Planning Committee June 2011. The Committee resolved that subject to further discussion with the applicant on the level of contributions and safeguards regarding the stated very special circumstances that agreement of the outcomes of these discussions be delegated to the Chair of Planning Committee and Chair of the Board in consultation with the Director of Planning and Strategy. Subject to the above, they were minded to approve the application subject to it first being referred to the Secretary of State under the terms of the Town and Country Planning (Consultation) (England) Direction 2009, the completion and signing of the S.106 agreement and planning conditions.			
Secretary of state decided not to call the matter in for decision Nov 2011, section 106 agreement completed and outline planning permission granted March 2012.			
Additional Further Action/Control identified:			
4. Further detailed planning applications prior to commencement of works.			



Corporate Opportunity 30
London Gateway

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 30 - LONDON GATEWAY: Development of deep water port and associated land side business and industrial functions will lead to significant investment, new business and employment opportunities and is key to the economic development of Thurrock. The initial stage (first berths of port and logistic centre) is scheduled to open Q4 2013 with continued investment and development over the next 10 years to 2020.					Millard, Andrew	30/09/2011	31/12/2013
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB		
RM01 Rating	80	80	80	80	▲		
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲		
RM03 Likelihood	Significant	Significant	Significant	Significant	▲		
Current Risk / Opportunity (residual R/O Rating)							
Current Controls or Action				Assurance on Controls/Actions			Residual Rating 31/12/2011
1. Initial Construction - DP World award contract for the first phase of the port quay. Dredging and reclamation programme							80
Target Risk/Opportunity							
Further Controls or Action				Assurance on Controls/Actions			Target R/O Rating
2. Development of the necessary infrastructure to support the development - Manorway, A13, J30/31 M25 agreed plans							100
3. Work with key stakeholders to support the development to maximise the benefits for Thurrock. Skills and education service providers							
Progress /Developments - Further Controls/actions 31/03/2012							Residual Rating 31/03/2012
No further updates as at 13/02/12.							80
Progress /Developments - Further Controls/actions 30/06/2012							Residual Rating 30/06/2012
1. Dredging continuing. Quay wall construction continuing with a significant section now completed. Various planning applications in respect of infrastructure are progressing. Planning permission granted for admin building and amendments to access road. Agreement reached with Network Rail over rail works.							80
2. Work being progressed on detailed design of A13/Manorway junction and clearance works undertaken in accordance with terms of planning permission. Ecological works programme ongoing in relation to the scheme of interim improvements at J30 of the M25.							
3. The Council is working with key stakeholders to support the development to maximize the benefits for Thurrock through the development of an Academy of Transport & Logistics - see Opportunity 23, Academy of Transport & Logistics for progress.							



Corporate Risk 31
Transport/Road Infrastructure

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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		
<p>RiskCorp 31 - TRANSPORT/ROAD INFRASTRUCTURE: In Thurrock, the M25 and A13 are routes of national and regional importance. Adverse traffic conditions on these routes often have a knock on effect on local roads, leading to localised gridlock on occasion and impacting negatively on economic productivity. The Thurrock Dartford Crossing adds an additional element of traffic risk, as the bridge and the tunnels are more sensitive to accidents and congestion, in part due to the current method of tolling.</p> <p>Currently the need for major network improvements on strategic routes to facilitate growth has been identified as:</p> <ul style="list-style-type: none"> - M25 - improvements at Junction 30/31; - The introduction of free flow tolling on the Thurrock - Dartford Crossing; and - Potentially, the consideration of an additional river crossing in the longer term <p>Public transport is seen to be in need of improvement in Thurrock. This has implications for education, business and leisure. Users can find it difficult or impossib</p>	Millard, Andrew	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	72	72	72	▲
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major	Substantial/Major	▲
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. Lobbying DfT directly to bring forward J30/31 Improvements - Report back on progress to O&S March 2012 2. Awaiting decision on Tolls consultation from DfT - Report back on progress to O&S March 2012. 3. Await re-start of Lower Thames Crossing Study	3. Will be involvement from Leader/Director or Head of Service				72
Target Risk/Opportunity					
Further Controls or Action	Assurance on Controls/Actions				Target R/O Rating
4. Continue lobbying for imps to J31 if not provided by J30 scheme. 5. Seek alternative funding streams 6. Engage LEP/TGSE/RTF etc. on such issues. Input/feedback at regular Group meetings	4&5. Monitor through Director/Transport Manager/1-2-1 and PFH briefings				20
Progress /Developments - Further Controls/actions 31/03/2012					Residual Rating 31/03/2012
No further updates as at 13/02/12					72
Progress /Developments - Further Controls/actions 30/06/2012					Residual Rating 30/06/2012
1&4. An announcement was made on 8th May 2012 that junction 30/31 is one of six major infrastructure projects that is on the government forward plan. 5. The Council is awaiting a decision from the DfT regarding the funding of South Essex Rapid Transport (SERT)					72



Corporate Risk 32
School Build & School Place Planning

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 32 - SCHOOL BUILD & SCHOOL PLACE PLANNING: With a rapidly changing population, failure to develop and implement an effective coordinated strategy leads to a shortfall in school places between supply and demand across the borough as a whole or within particular parts of the borough.	Singleton, Mike	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	80	80	▲
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲
RM03 Likelihood	High	Significant	Significant	▲

Current Risk / Opportunity (residual R/O Rating)

Current Controls or Action	Assurance on Controls/Actions	Residual Rating 31/12/2011
1. Develop a comprehensive needs assessment for the provision of services through the (14-19 Education plan). This is currently ongoing. 2. Review of the 14-19 Education plan - June 2010. 3. Appointment of a project management team (MACE) - October 2009. 4. Special School development program - second part of phase one commenced July 2011. 5. Support for key corporate services (procurement, legal and finance) set up in June 2010. 6. Capital Funding committed for Primary Capital Program in August 2011. 7. Strategy for Change for schools document developed in January 2009. 8. Completion of school organisation at Quarry Hill Primary School - 1 January 2011 and The manor Primary School - 1 September 2011. 9. Proposals for Thameside infant and junior schools and Stifford Clays infant and junior schools to become primaries in September 2012. 10. Expansion of Chafford Hundred Primary School and Tudor Court Primary School commenced September 2011. 11. Expansion of Stifford Primary School commenced March 2011. 12. Expansion of West Thurrock Primary School completed in April 2011. 13. Informal expansions include - Bonnygate Primary School admitting an additional 15 pupils. 14. Liaising with other best practice local authorities has enabled the development of more comprehensive arrangements for school place planning - such as a higher frequency of projection figures and longer term planning in order to meet future demand for school places. 15. School place planning projections are being updated with the May census.	1. Regularly reviewed by the 14-19 team. 2. Regularly reviewed by the 14-19 team. 3. Regular meetings with Service Managers and Head of Service. 4. Monthly Capital Budget meeting, MACE/Thurrock monthly catch up meeting and DMT. 5. Regular service team meetings. 6. Reviewed at monthly Capital Budget meeting, MACE/Thurrock monthly catch up meeting and DMT. 8. Asset Development Advisers and DMT. 9. Asset Development Advisers and DMT. 10. Asset Development Advisers, Service Managers, Project management Team, monthly capital budget meetings and MACE/Thurrock monthly catch up meeting. 11. Asset Development Advisers, Service Managers, Project management Team, monthly capital budget meetings and MACE/Thurrock monthly catch up meeting. 12. Asset Development Advisers, Service Managers, Project management Team, monthly capital budget meetings and MACE/Thurrock monthly catch up meeting. 13. Asset Development Advisers and monthly capital budget meeting. 14. Asset Development Advisers and Asset Management and School Organisation officer. 15. Asset Development Advisers and Asset Management and School Organisation officer.	80

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
16. Completion of the skills centre at Gable Hall Secondary School is due in September 2012.	16.To be reviewed regularly by the appointed project management team, overview of projects by Thurrock Asset Development Advisors, monthly reviews by Service Managers, monthly reviews by Mace/Thurrock and overview by DMT.	80
17. St Cleres Secondary School Drama Studio is due for completion in January 2012.	17. To be reviewed regularly by the appointed project management team, overview of projects by Thurrock Asset Development Advisors, monthly reviews by Service Managers, monthly reviews by Mace/Thurrock and overview by DMT.	80

Target Risk/Opportunity

Further Controls or Action	Assurance on Controls/Actions	Target R/O Rating
18. Further plans are underway to make additional school places available at nine schools between January and September 2012.	18.To be managed by the Asset Development Advisers and monitored at the monthly capital budget meetings.	

Progress /Developments - Further Controls/actions 31/03/2012	Residual Rating 31/03/2012
<p>1. 14 to 19 needs assessment - The 14 -19 Education Plan has been superseded by Thurrock Council's School Improvement Learning and Skills (SILS) service plan. This document sets out the key actions required in to improve the Education and Skills of Local People. The SILS service plan adopts a broader lifelong learning approach to the learning and skills agenda rather than the historical focus of the 14-19 Education Plan. The Learning and a Skills Board works with learning providers and businesses to develop a greater understanding of the borough's current and projected skills needs.</p> <p>2. Review of the 14-19 Education plan - In February 2012, the 11-19 Strategy Group and the Community Skills Group met to identify their priorities and develop their respective work plans.</p> <p>3. Appointment of PM Team - MACE appointed</p> <p>4. Special School development programme - Completion of main build project due April2012. Access and cark park due to start July and complete October 2012</p> <p>5. Support for key corporate services - ongoing</p> <p>6. Capital funding committed for PCP - Not all committed by 31 Aug 2011 although funding secured providing committed by Aug 2012</p> <p>7. Strategy for Change document - No longer relevant as specifically related to PCP bid</p> <p>8. Completion of school organisation at Quarry Hill and Manor Schools - Both completed on 1 Jan 2011 and 1 September 2011 respectively</p> <p>9. Proposals for Thameside and Stifford Clays Infant and Junior schools to become primary schools - Ongoing completion by September 2012</p> <p>10. Expansion at Chafford Hundred Primary and Tudor Court Primary schools -Phase 1 at Chafford Hundred Primary completed Phase 2 ongoing due for completion September 2012. Tudor court started October 2011 and due for completion July 2012.</p> <p>11. Expansion of Stifford Primary School - Due for completion March 2012</p> <p>12. Expansion of West Thurrock - Completed</p> <p>13. Informal expansions for 2011 - Completed</p> <p>14. Liaising with other LAs on school place planning best practice - Ongoing</p> <p>15. School Place Planning projections being updated every term - Ongoing</p> <p>16. Completion of Skills Centre at Gable Hall - Started on February 2012 due for completion November 2012</p> <p>17. Completion of St Clere's Drama Studio - completed November 2011</p> <p>18. Plans for additional school places for September 2012 - Ongoing feasibilities underway</p>	80

Progress /Developments - Further Controls/actions 30/06/2012	Residual Rating 30/06/2012
<p>1. 14 to 19 needs assessment - The 14 -19 Education Plan has been superseded by Thurrock Council's School Improvement Learning and Skills (SILS) service plan. - This is on going.</p> <p>2. Review of the 14-19 Education plan - In February 2012, the 11-19 Strategy Group and the Community Skills Group met to identify their priorities and develop their respective work plans - This has been completed.</p> <p>4. Second part of phase one which includes the respite centre was completed in May 2012. Access and car park works will start in the summer and completed by October 2012 subject to planning and cabinet approval.</p> <p>5. Support for key corporate services - ongoing</p> <p>6. Capital Funding committed for Primary Capital Program in August 2011. This is now all contractually committed.</p> <p>9. Proposals for Thameside and Stifford Clays Infant and Junior schools to become primary schools - Both has now been completed. The schools will become primary schools from 1st September 2012</p> <p>10. This is on track for completion.</p>	

Progress /Developments - Further Controls/actions 30/06/2012

Residual
Rating
30/06/2012

11. Expansion of Stifford Primary School commenced March 2011. This was completed in March 2012

14. Liaising with other LAs on school place planning best practice - Ongoing

15. School Place Planning projections being updated every term - Ongoing

16. This is on track for completion.

18. Further plans are underway to make additional school places available at nine schools between January and September 2012. The feasibility studies have now been undertaken. Appropriate planning applications are in the process of being submitted.

Further Control/Action Identified (In May 2012)

19. A Pupil Place Planning Strategic Group has been set up to develop a coordinated approach to pupil place planning. (Assurance - To be reviewed regularly by Asset Development Advisers and the pupil place strategic group). A pupil place plan document will also be published annually. This action is ongoing.

20. Further plans are been considered to put necessary accommodation in place to meet demand for school places in September 2013. (Assurance - To be managed by the Asset Development Advisers and monitored at the monthly capital budget meetings). This action is ongoing.

80



Corporate Opportunity 33 Learning Campus

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 33 - LEARNING CAMPUS: TLC is a project of key significance for the regeneration of Thurrock. The project is supported by a multi agency partnership, including TTGDC, SEC and the council. The development will lead to high quality learning facilities to transform the skills/learning development opportunities and aspirations of local people. Failure to support SEC in delivering the project would cause reputational, political and economic difficulties to the council.				Littleton, Carmel	30/09/2011	30/11/2013
Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012	Residual Rating 30/06/2012	Latest RAB		
RM01 Rating	80	80	80	80	▲	
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional	▲	
RM03 Likelihood	Significant	Significant	Significant	Significant	▲	
Current Risk / Opportunity (residual R/O Rating)						
Current Controls or Action				Assurance on Controls/Actions		Residual Rating 31/12/2011
1. Council project team in place with key leads for legal, planning/lands transfer, finance, education and regeneration, meeting monthly to plan actions and review and mitigate risks 2. Programme board incorporating TBC, TTGDC, SEC and partners meeting monthly 3. Full risk register reviewed and updated monthly at partner and council level 4. Member engagement and support reviewed by HOS and Director of People to manage planning process of Woodside Housing development which will partly finance TLC and TLC building works 5. Comms group in place with key partners from SEC, TLC and TTGDC				1. Action reviewed by regeneration board 2. Actions reviewed by regeneration board 3. Issues escalated to CEX and Director People as necessary. Regularly reviewed at high level by regeneration board 4. Reviewed by HOS, Director of People and at regeneration board, with other members of DB as appropriate 5. Reviewed at TLC programme board with partners		80
Target Risk/Opportunity						
Further Controls or Action				Assurance on Controls/Actions		Target R/O Rating
6. Review of programme planning and review arrangements post TTGDC required				6. Monitored by regeneration and localisation boards		100
Progress /Developments - Further Controls/actions 31/03/2012						Residual Rating 31/03/2012
1-5 Progress on "Current Controls" - Council project Team have met, and will continue to meet monthly with issues progressed on a daily basis - Monthly highlight reports to regeneration board - Strong representation by relevant Thurrock Council senior officers (including legal, planning, finance and project manager) continues on the Programme Board - Risk Register is well maintained and updated and issues such as CPO, planning and cost issues and consultation have been escalated appropriately and risks mitigated 6 Progress on "Further Controls" - Post TTGDC planning in April 2012 in underway.						80
Progress /Developments - Further Controls/actions 30/06/2012						Residual Rating 30/06/2012
1-6 Progress on current controls Council project team has now incorporated previous TTGDC staff involved with Thurrock Learning Campus, Matthew Essex and Ian Oakshett, to supplement existing council staff Strong representation by relevant Thurrock Council senior officers continues (including legal, planning, finance and project manager) Monthly highlight reports to regeneration board give updates on progress against programme timeline, highlight any changes in risk and next actions Risk register is well maintained and updated and issues such as CPO, planning and cost issues and consultation have been escalated to CEX and Director level where appropriate. Programme board continues to meet with SEC (post TTGDC) and this will be reviewed in August 2012 to ensure relevant and proportionate arrangements are in place. Risks are now considerably reduced as planning and land transfer issues are now complete.						80



Corporate Risk 34
Primary School Standards

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 34 - PRIMARY SCHOOL STANDARDS: There is a risk that primary schools attainment will not improve at a sufficient pace to reach or exceed national average performance. Historically, educational standards in primary schools has been too low. Too many schools were underperforming against national benchmarks and there has been turnover of heads leading to a reliance on interim management support. School improvement work was not sufficiently targeted to focus on the most needy schools. Support performance has been.	Littleton, Carmel	30/09/2011	31/07/2012
	Inherent Rating	Residual Rating 31/12/2011	Residual Rating 31/03/2012
RM01 Rating	90	80	80
RM02 Impact	Critical/Exceptional	Critical/Exceptional	Critical/Exceptional
RM03 Likelihood	High	Significant	Significant
			Residual Rating 30/06/2012
			80
			Latest RAB
			▲
			▲
			▲
Current Risk / Opportunity (residual R/O Rating)			
Current Controls or Action	Assurance on Controls/Actions		
1. Performance plan for schools below floor target	1. Endorsed by DfE & feedback from OFSTED		
2. Reconfiguration of school improvement resource to target areas of high need with bespoke packages of support	2. Data and performance checked termly at school standards and progress board		
3. Development of Key Stage 1 strategy	3. Agreed at Thurrock Primary Heads Association		
4. Brokering of sector led expertise from successful secondary school, and leading edge primary practitioners	4. Data and performance checked at school standards and progress board and through OFSTED inspections		
			80
			Residual Rating 31/12/2011
			80
Target Risk/Opportunity			
Further Controls or Action	Assurance on Controls/Actions		
5. Growth proposal for 2012/3 of 250k to secure further bespoke and specialist support at areas of greatest need	5. Monitored by HOS LUO and Director People		
6. Strengthen actions to narrow the gap in attainment for underperforming groups	6. Monitor through 0-11 partnership board and Children's O and S		
			80
			Target R/O Rating
			80
Progress /Developments - Further Controls/actions 31/03/2012			
Progress on "Current Controls" 1-4: - Key Stage One Strategy finalised and published as "Raising Primary Attainment Strategy". Has been endorsed by Children's Partnership Board. - Developed new model of sponsored academy securing Secondary Academy sponsorship of new primary academy with LA as a named partner - Secondary School leading middle leadership training programme to build capacity - 10 Local Leaders in Education are leading the development of a "satisfactory to good" programme for satisfactory primary schools. Progress on "Further Controls" 5-6: - Growth proposal secured (November 2011) and Improving Schools Team is being re-commissioned for the academic year 2012-13. - Further work to commission high quality school improvement activity is underway for 2012-13 after the proposed restructure of School Improvement is expected to be completed - In 2011, the gap was narrowed in each key stage but girl's attainment fell relatively. There is continued and focused work in this area. Detailed reports have been presented to Cabinet, Children's Overview and Scrutiny and Children's Partnership.			80
			Residual Rating 31/03/2012
			80
Progress /Developments - Further Controls/actions 30/06/2012			
Progress on Actions 1-6: - 10 Local Leaders in Education are now leading the "satisfactory to good" programme for satisfactory primary schools with attendance from 23 schools. - St Clere's Trust is now confirmed as the sponsor of the new primary academy and head teacher appointment will be completed by end of June 2012. - School improvement re-structure will be completed by Aug 2012 and activity is being commissioned for 2012-13. - School's indicative data suggests a further increase in both Key Stage One and Two data for summer 2012. - Early Years and Primary Strategy Group has been established and has identified priority actions in relation to the "Raising Primary Attainment Strategy".			80
			Residual Rating 30/06/2012
			80



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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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..							90
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:							90
7. Development of business case/growth bid for resource for consideration by Star Chamber - August 2012.							90



Corporate Risk 36
TTGDC Integration, Capacity

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 36 - TTGDC INTEGRATION, CAPACITY: Following the review of the options for the future management of the TTGDC functions in line with the localism agenda, and the announcement that the DC would cease operation from 1st April 2012 and become part of the Council, the Oversight and Scrutiny Committee identified a potential risk around the capacity within the Council to absorb or provide the functions being handed to the Council by Government.			Lambert, Clare	01/12/2011	30/04/2012
	Inherent Rating	Residual Rating 31/03/2012	Residual Rating 30/06/2012		Latest RAB
RM01 Rating	80	48	12		
RM02 Impact	Critical/Exceptional	Substantial/Major	Negligible/Minor		
RM03 Likelihood	Significant	Low	Low		
Current Risk / Opportunity (residual R/O Rating)					
Current Controls or Action		Assurance on Controls/Actions			Residual Rating
1. Governance structure established to ensure the successful physical move of TTGDC's operations to the Civic Offices. Localisation Board established in Sep 2010. Board chaired by CLG with Chief Executive and Senior Management representation from both Thurrock Council and TTGDC. It has overall responsibility for the Localisation project. Two progress meetings have also been held with the Thames Gateway Minister and a further meeting with the Minister is due to take place on 8th March 2012;		1. Chief Executive and Senior Management representation from Thurrock Council.			48
Target Risk/Opportunity					
Further Controls or Action		Assurance on Controls/Actions			Target R/O Rating
2. Cross departmental DC Integration Group chaired by the Assistant Chief Executive established in Sep 2011 and meets weekly. Overarching project plan established spanning 8 workstreams (Finance, HR, ICT, accommodation, data & information, assets, legal & governance, and communications). This is overseen by an independent project coordinator. A risk register has also been established and is reviewed weekly. The Council's project and risk plans complement the plans owned and managed by DCLG for the Localisation Board;		2. Project plan established which is overseen by an independent project coordinator. A risk register has also been established and is reviewed weekly.			12
3. Fortnightly meetings between the Chief Executives of the Council and TTGDC supplemented by monthly management team meetings.		3. Chief Executive reporting			
4. Weekly project meeting between Council's project coordinator and DC's project manager;		4. Issues fed back to Council Workstream leads and monitored;			
5. Council's Project Coordinator is in weekly contact with workstream leaders to identify major issues		5. The majority of issues are resolved with very few having to be raised at the DC Integration Group.			
Progress /Developments - Further Controls/actions 30/06/2012					Residual Rating 30/06/2012
2-5. Integration project completed. Some minor day to day issues experienced and managed by Departments but no major items identified. Cash settlement signed off by DCLG and department budget to be established. Risk managed and removed from the corporate register. Ongoing monitoring of position at department level.					12



Corporate Risk 38
Welfare Reforms

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 38 - WELFARE REFORMS: The government have announced their intention to reform the Welfare Benefits system. A Bill is currently (3.2.12) going through Parliament to legislate for these changes. The intention is to reduce the overall amount spent on Welfare Benefits, make the system easier to understand and increase the incentives for people to move off benefits and into work. The consequences, however, could be fewer people in receipt of benefits who may then look to the Council to provide them with a service - e.g. people made homeless; people seeking further support from social care.	Harris, Roger	01/12/2011	not set
	Inherent Rating	Residual Rating 31/03/2012	Residual Rating 30/06/2012
RM01 Rating	72	72	72
RM02 Impact	Substantial/Major	Substantial/Major	Substantial/Major
RM03 Likelihood	High	High	High
Latest RAB			
Current Risk / Opportunity (residual R/O Rating)			
Current Controls or Action	Assurance on Controls/Actions		Residual Rating
1. The establishment of a members Task and Finish Group that will be reporting back to Scrutiny Committee, DB and then Cabinet; (February - March 2012). 2. A detailed impact assessment will be undertaken as part of this which map out the likely impact and how many people will be affected; (Initial impact assessment for report March 2012)	1. The report will be completed on time and sufficient officer time has been dedicated to completing the work of the T&F Group; 2. The report will be going to Directors Board and cabinet to ensure it has the highest officer and political support;		72
Target Risk/Opportunity			
Further Controls or Action	Assurance on Controls/Actions		Target R/O Rating
3. It is recommended that a lead Director is appointed to be responsible for this area of work (March - April 2012); 4. It is recommended that a standing officer group is established to ensure the cross cutting issues are addressed and don't fall just onto one Directorate; (March 2012 onwards) 5. A regular report back to Scrutiny Committee and Directors Board; (October 2012) 6. Regular assessments as the reform timetable and implications becomes more fully understood; (March 2012 onwards). 7. A review of the advice and information available to service users to minimize the impact that it has on individuals. (June - Dec 2012)	3. Through the appointment of a Lead Director this will ensure high level accountability; 4. The action is intended to ensure that this is seen as a whole Council project and so the risk minimized as a result. 5-7. Oversight by the agreed governance process - ie - lead Director and the cross Council officer working group.		72
Progress /Developments - Further Controls/actions 30/06/2012			Residual Rating 30/06/2012
2. Consultant commissioned to undertake high level impact assessment; 4. Officer working groups established; further guidance is now being received and assessed from the DWP; the Council is working alongside other authorities in Essex to co-ordinate our approach - especially around the Council Tax rebate scheme.			72



Corporate Risk 39
Medium Term Financial Strategy (2012/13)

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

Risks	Likelihood:	Opportunities
Negative Impact:	A Very High	Positive Impact:
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 39 DELIVERY OF THE MTFS (2012/13): 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 2012/13 and/or savings are not delivered to meet forecasted budget deficits. 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	Owen, Andy	31/03/2012	30/04/2013
Inherent Rating		Residual Rating 30/06/2012	
RM01 Rating	100	80	▲
RM02 Impact	Critical/Exceptional	Critical/Exceptional	▲
RM03 Likelihood	Very High	Significant	▲
Current Risk / Opportunity (residual R/O Rating)			
Current Controls or Action	Assurance on Controls/Actions		Residual Rating
1. Regular reports to Directors Board and Cabinet on latest budget position - January 2012 onwards. 2. Star Chamber meetings will be held in July/August to determine growth and savings across all services 3. Budget Proposals taken to Cabinet and Scrutiny to try to secure cross party political support - October 2012 4. Austerity Measures have been in place since July 2010 to limit discretionary spend 5. Recommendations from the Audit Commission's Annual Governance Review relating to the MTFS will be incorporated in the next iteration of the strategy (July 2012).	1. Monthly to Directors Board, Quarterly to Cabinet 2. Star Chamber to be lead by the Leader of the Council, Chief Executive and Director of Finance and Corporate Governance 3. Will be incorporated in the budget timetable 4. 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) 5. Review of the MTFS is part of the 2013/14 budget timetable.		80
Target Risk/Opportunity			
Further Controls or Action	Assurance on Controls/Actions		Target R/O Rating
6. Prepare a more robust MTFS (by July 2012) to incorporate best and worst case scenarios and better contingency planning	6. DB/HoS will be consulted during Strategy Week (w/c 11 June 2012) and at Star Chamber meetings.		20