

Strategic/Corporate Risk & Opportunity Register January 2023

In Focus Report

The items are split between Risk & Opportunity and listed in Priority (Rating) and then Reference Number Order.

Risks In Focus

UNMANAGED / INHERENT RISK

Risk Description		Risk Owner						
<p>The risk is that a combination of on-going pressures will result in lack of stability in the care market place resulting ultimately in market failure. In addition, there is a risk that pressures emanating from the Pandemic and lock down period will place unsustainable demand on the Council's ASC external placements budget. Whilst the Council has given additional resource in the form of uplifts, they fall short of what is requested. Meeting demand would mean significantly increasing available capacity. Not only is it difficult to recruit staff required to provide demand, but it is also unaffordable. The domiciliary care rate has been increased with the retender of the domiciliary care contract – this has resulted in greater stability, but difficulties remain. For example, issues concerning recruitment and retention. Hospital capacity remains an issue, with increased demand for care following the pandemic now having an impact on delayed discharges. There has been some additional funding via the ASC precept and some funding through the NHS linked to ensuring discharge and system flow through the pandemic which is due to cease. This has meant hard decisions about what is affordable needing to be taken. There is therefore continuing risk to stability and affordability. The recent and ongoing Covid-19 pandemic has highlighted the pressures on the adult social care market and the extent to which local authorities and the nation are dependent upon the market to provide care for the some of the Country's most vulnerable people. Covid-19 has also led to a significant increase in demand for care which is pushing provider capacity and budgets further still. For providers, fees and rates are still an issue, compounded by the National Living Wage. Despite activity over the last 18 months, the risk of failure is still very real.</p>		Les Billingham						
Link to Corporate Priority								
People - A borough where people of all ages are proud to work and play, live and stay - Build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing.								
Inherent Risk Rating	Date:	18/07/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 18/07/2022	Residual Risk Rating as at: 18/07/2022	Residual Risk Rating as at: 24/10/2022	Residual Risk Rating as at: 23/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

Comments

Adult Social Care has received additional funding in recent years – through a precept as part of the Council Tax and also through the Improved Better Care Fund. A significant proportion of this money has been used to stabilise the marketplace and deliver sustainability for care providers. This has included increasing the capacity of the contract and brokerage team to ensure contract compliance visits and monitoring to take place in a timely manner – reducing or aiding early identification of risks. The introduction of a Brokerage function has also meant that more realistic costs and fees are negotiated. In addition, uplifts have been provided (as described in the risk description) to improve stability and domiciliary care has been retendered. Through the Better Care Fund, we have also been able to enhance capacity through investment in a Bridging Service and through enhancing existing services to ensure that people can come out of hospital when medically fit to do so – even when they are unable to return home. This has helped to reduce Delayed Transfers of Care and Waiting Lists.

The current Covid-19 Pandemic has significantly increased the strain on providers and the system as a whole with demand for home care remaining extremely high. Staffing remains a major issue across both residential and domiciliary care sectors. This is having a direct impact on the number of people we are able to provide care with across the domiciliary care sector leading to the implementation of waiting lists. This means hard decisions having to be made about how and where hours are distributed, which whilst risk assessed, is leading to some people having less care. As a result, additional strain is being placed on family members who are being asked to provide care to their loved ones where formal care capacity remains unavailable. Increased carer breakdown is a real risk. It is unclear as to whether the demand will remain high, outstripping supply, but there seems to be no sign of demand abating. In fact, there is growing evidence that demand emanating from the pandemic is now beyond dispute.

Whilst some additional funding was provided by the NHS to assist with system flow, this has now come to an end, meaning that the Council cannot afford to carry on commissioning certain services – for example providing notice to the Hospital's Bridging Service. Unfortunately, this means that there is likely to be an impact on delays to discharge from hospital and the ability to provide care required as quickly as we would like. This is already starting to be experienced. A recent decision has been made to fund a limited number of hours with the Bridging Service to cover the Winter period. This is being funded by the pooled Better Care Fund and is limited to the funding available.

Transformation work continues to progress to redesign a system that can respond to some of the current challenges – although some elements and benefits of the work will take time to be realised. Thurrock's Integrated Care Strategy 'A Case for Further Change' has recently been published – detailing existing and future system change activity. At the beginning of 2018, the new domiciliary care contract started with providers now well established within the Borough, although one of the organisations who were successful in the tender process have failed to deliver the capacity contracted for; this is further evidence of the fragility of this market. Work has also taken place on alternative approaches to traditional domiciliary care, with two Wellbeing Teams now in place. Wellbeing Teams will enable us to identify the model required and will focus on enhancing Wellbeing and not just on meeting needs. It will also look at how to encourage people in to the care industry and to professionalise a caring role.

As a result of the Council's financial pressures, Adult Social Care has implemented a Resources Panel. The Panel reviews all external placement spend above £500. This will help to manage demand by ensuring that the Council is spending appropriately and equitably and also to ensure that finances are being used to best effect. Power BI has also been introduced as a budget management tool linked to decisions about placement spend. Again, this will help to give practitioners and managers the earliest opportunity to identify overspend and to take decisions to best manage the use of available resource.

Despite the work taking place, the risk of market failure and unsustainable demand remains extremely high. The sheer number of challenges faced by the care market and the health and care system as a whole at the current time has led to the risk level being kept at 16.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. New Domiciliary Care Contract 2. Uplifts for providers 3. Development of New Model of Care – Wellbeing Teams 4. Prevention agenda – e.g. Stronger Together, identification and management of Long Term Conditions, Enhanced Primary Care 5. Market Development Strategy	Implemented or on-going

6. Market Diversification – e.g. through Micro Enterprises, Shared Lives	Dec 2021 Ongoing
7. Better Care Together Health and Social Care Transformation Programme	
8. Implementation and evaluation of Wellbeing Teams pilot	
9. Market place diversification	
10. Workforce Development Strategy – establishment and implementation of regional strategy	
11. Additional Funding – Temporary resilience payments, arrangements to assist with cash flow and additional infection control allocated to providers	
12. Arrangement made with some micro enterprises to enable greater capacity for providing support in the home	
13. Development of a transformation plan for commissioning – including working with providers to develop an alternative approach to the delivery of support within the home.	
14. Constant review of spend – e.g. review of high cost placements, risk assessment of care requirements to identify priority	

Residual Risk Rating	Date:	18/07/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
15. Continuation and review of management action 1-14	From July 2022	1-14 Ongoing – see comments table.
16. Temporary contract with the Bridging Service to cover Winter pressures	October 2022	Contract in place. Ongoing – see comments table.
17. Resources Panel in place to review spend on external placement activity	Dec 2022	Ongoing – see comments table
18. Development of Power BI tool to enable managers to have better and earlier sight of budget pressures and to be able to take effective action	Dec 2022	Ongoing – see comments table

Forecast Risk Rating	Forecast Date:	Refresh 31/03/2023	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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Revised Residual Risk Rating	Date:	23/01/2023	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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UNMANAGED / INHERENT RISK

Risk Description		Risk Owner	
<p>The growth programme in Thurrock continues to be one of the largest and most exciting opportunities in the country. Thurrock’s reputation as a place full of opportunity has helped attract a number of large scale projects including London Distribution Park at the Port of Tilbury, the continuing investment at DP World London Gateway, expansion of Lakeside, Purfleet Regeneration, Thames Freeport etc. As a direct result of the scale of the growth agenda in Thurrock the Council will be involved in three National Infrastructure Projects over the coming years.</p> <p>Managing these projects alongside the other key regeneration projects will place significant demands on the Council and ensuring the authority have capacity in key areas is important in maintaining momentum and maximising opportunity for the borough.</p> <p>Failure to increase capacity to meet current, future or competing demands could impact the successful delivery of the major schemes and projects.</p>		Mark Bradbury	
Link to Corporate Priority			
<p>Prosperity – a borough which enables everyone to achieve their aspirations:</p> <ul style="list-style-type: none"> • Attractive opportunities for businesses and investors to enhance the local economy • Vocational and academic education skills and job opportunities for all. <p>Place – a heritage rich borough which is ambitious for its future:</p> <ul style="list-style-type: none"> • Roads, houses and public spaces that connect people and places • Fewer public buildings with better services 			
Inherent Risk Rating	Date:	03/08/2022	Impact: Critical (4)
			Likelihood: Very Likely (4)
			Rating: 16

DASHBOARD

Inherent Risk Rating & Date: 03/08/2022	Residual Risk Rating as at: 03/08/2022	Residual Risk Rating as at: 26/10/2022	Residual Risk Rating as at: 24/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

Comments
<p>The Thurrock growth programme crosses many disciplines within the Council. These diverse projects themselves range in size and complexity, with a number involving an interface with the railway, which brings with it, its own set of specialist considerations and heightened costs. It was recognised that the successful delivery of the programme would require significant programme management capacity from the Regeneration team to manage the programme alongside a joined up approach with other areas of the authority to ensure that relevant specialisms are brought in as required and programmes and strategies are complementary. The focus to date has been to develop robust project management and delivery capacity for each element of the programme. Over time each of the main projects (A13 dualling, Stanford Le Hope (SLH) Station, Grays Underpass and Purfleet New Town) have developed their own separate delivery teams and PMO approach, to reflect the specific needs of the project. To support the</p>

delivery of the A13, SLH and Purfleet the Council has procured specialist project management resources in Aecom, MACE and Lambert Smith Hampton respectively. For the Grays Underpass the Council has recruited a specialist in house team with expertise in delivering rail schemes.

The deliver of the programme to date has been disappointing and whilst a certain amount of programme delay can be attributed to the impacts of COVID and the subsequent economic fallout, programme delays have also been down to poor project decisions and a lack of effective capital programme management. The issuing of the Section 114 Notice and the requirements of the Improvement & Recovery Plan, alongside the BVI have provided the programme team with an ideal opportunity to critically review each of the projects that make up the Growth Programme in terms of strategic fit, need, design, costs, outputs and regeneration uplift.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented	
1. Overall									
1.1	Managing the impact of various outcomes relating to the UK's exit from the EU							Ongoing	
1.2	Include Brexit contingency in all project budgets to cover the potential for increased construction costs due to potential increases in labour/material costs.							Since Oct 2018	
1.3	Managing the impact of COVID-19 on projects and programmes, including assessment on the cost of the programme of all projects							Ongoing	
1.4	Appropriately qualified team in place.							Ongoing	
1.5	Specialist expertise brought in on a consultancy basis as required.							Ongoing	
1.6	Programme Management methods in place with all projects having a project programme, budget and risk register set up from the outset.							Ongoing	
1.7	Area based Programme Boards to be operational to ensure cross department buy in.							Ongoing	
1.8	Funding agreements managed to ensure compliance and reduce risk of claw back							Ongoing	
1.9	Increase of capacity required in team (additional FTEs)							Ongoing	
1.10	Standardised project management documentation implemented and consideration of standardised project management software solution.							Jun 2019	
1.11	Continuously improve our ability to deliver projects and share the learnings from other							Ongoing	
1.12	Project delivery reviews held monthly examining performance, issues and risks on all projects							Ongoing	
1.13	All projects now have a 6 month look ahead, a plan on a page – project management strategies in development.							Ongoing	
1.14	New programme and major projects board launched where each project is peer reviewed.							Ongoing	
1.15	Thurrock project lifecycle developed and implemented							Ongoing	
2. Grays Underpass									
2.1	Managing costs within GRIP stages with Network Rail							Ongoing	
2.2	Information campaign to help prevent accident or incident at level crossing							Ongoing	
2.3	Improving design services agreement with NR to protect Council's interests now and in later GRIP stages							Current/Ongoing	
2.4	Driving the land assembly process with negotiation/CPO to facilitate project delivery and reduce delivery risks							Ongoing	
3. Purfleet Primary School									
3.1	Facilitated discussions with all stakeholders on size of site, budget & programme, but recognising recent desire of new funder for possible alternative site.							Ongoing	
4. Stanford le Hope Transport Interchange									
4.1	Steering Group Meetings continue including strong engagement from all stakeholders							Ongoing	
4.2	Preliminary design to GRIP 4 (Single Option Development) completed ahead of appointing Detail Design and Construct contractor for phase 1							Closed	
4.3	Contract award planned for March 22 – but not yet executed – delay mitigated by Letter of Intent allowing initial activities to progress							March 2022	
4.4	Separate Steering Groups established for Phase 1 station construction and Phase 2 Transport hub							May 22 onwards	
4.5	Senior level engagement between TC/NR/c2c and Contractor to form leadership forum for risk mitigation and issue resolution.							Jun 22 onwards	
4.6	Opportunities shared and developed between all parties							Jun 22 onwards	
4.7	Ensuring all parties are working towards common objectives – improving alignment and enhancing team collaboration							Jun/Jul 2022	
Residual Risk Rating		Date:	03/08/2022	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK]

Further Management or Mitigating Action	Implementation Date	Progress
5. Ongoing application or implementation of actions 1-4 above as appropriate	From Jul 2022	Ongoing
<p>1. Overall</p> <p>1.16 Strategic reviews at each stage of lifecycle to be implemented</p> <p>1.17 Improvements in project controls processes such as change, issues, risk and opportunity and cost management within teams to reduce risk exposure and enhance outcomes.</p>	December 2022	<p>1.16 & 1.17 Reviews have commenced on all projects that make up the Growth Programme.</p> <p>The Purfleet review is being undertaken in conjunction with an assessment of the proposed buyout of the current PCRL shareholders. Options are also being assessed to exit the current ineffective Development Agreement. Update paper considered by DB in December 22 and next review due in mid March 23.</p> <p>The Grays Underpass review is been conducted in 2 parts: The first will be a strategic review of regeneration priorities for Grays Town Centre, including the Underpass project. This has been commissioned and will report by Mid March 23. The second is a technical review of the current design proposals examining procurement, buildability, programme and costs and is ongoing to report in line with the strategic review.</p> <p>Design work on the interchange element has been prioritised and has been commissioned. This work will provide a full scheme design and inform a new business case for the consideration by the SELEP Accountability Board in June 2023. The business a case will review delivery and value for money options.</p> <p>The A13 is programmed for completion in the forthcoming months. It is proposed that the closure report and lesson learned will inform the project review.</p>
<p>2. Grays Underpass</p> <p>2.5 Consider delivery and contract options if/if not NR awarded Grip 5-8 contract</p> <p>2.6 Develop utilities diversions strategy</p> <p>2.7 Develop NR/TBC integrated schedule showing critical activities and dependencies for GRIP 4 design process</p> <p>2.8 Develop project delivery strategy options to take account of changes in financial environment eg inflation, procurement lead times, fluctuations in funding</p> <p>2.9 Reviews funding options.</p>	<p>From Sep 22</p> <p>From Sep 22 Oct 22</p> <p>From Oct 22</p> <p>Ongoing</p>	<p>2.5 On hold as part of the review.</p> <p>2.6 To be informed by the GRIP 4 design due for delivery in early March 23.</p> <p>2.7 Completed</p> <p>2.8 This output will be informed by the reviews currently underway.</p> <p>2.9 This output will be informed by the reviews currently underway.</p>

3. Purfleet Primary School								
3.2	Review of investor proposal to ensure delivery of school is protected or look at whether different approach/investor needed and links to delivery of new housing/risk.	Dec 22						3.2 Completed.
3.3	Assess options for the more effective delivery of the Purfleet Regeneration programme, including sale of PCRL to new investors, termination of current Development Agreement and land sale.	Ongoing						3.3 These options will be examined by the reviews currently underway
4. Stanford le Hope Transport Interchange								
4.8	Develop alternative procurement strategy if negotiations with VFL fail to execute contract for Stage 1	From Sep 22						4.8 To be considered as part of the revised Business Case
4.9	Dedicated resource to deliver Phase 2 design and new business case to reduce risk of funding clawback by SELEP	Oct 22						4.9 Project to be managed in house and direct management of AECOM through the design process for the interchange.
4.10	Develop project delivery strategy options to take account of changes in financial environment eg inflation, procurement lead times, fluctuations in funding	From Oct 22						4.10 Options to be considered following receipt of the revised Business Case.
Forecast Risk Rating		Forecast Date:	Refresh 31/03/2023	Impact:	Substantial (3) Critical (4)	Likelihood:	Very Likely (4)	Rating: 12- 16
Revised Residual Risk Rating		Date:	24/01/2023	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating: 16

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
The Government has raised concerns around the Council's investment activity, the level of external borrowing and the financial/commercial risks potentially facing the Authority and put in place an intervention package. Essex County Council have been commissioned to oversee the management of the Council's financial resources/affairs and to support the development and implementation of plans to manage the situation.								Jonathan Wilson	
Link to Corporate Priority									
People – A borough where people of all ages are proud to work and play, live and stay – High quality, consistent and accessible public services which are right first time.									
Inherent Risk Rating		Date:	07/09/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 07/09/2022	Residual Risk Rating as at: 07/09/2022	Residual Risk Rating as at: 28/10/2022	Residual Risk Rating as at: 12/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 28/02/2023

Comments

Balanced budget for 2022/23 and remaining gap for the subsequent 2 years (2023/24 and 2024/25) reported to Cabinet and Corporate Overview & Scrutiny Committee (CO&SC) January 2022 and approved by Council in February 2022.

The Government has raised concerns around the Council's investment activity, the level of external borrowing and the financial/commercial risks potentially facing the Authority and put in place an intervention package on 02 Sept 2022. Essex County Council have been commissioned to oversee the management of the Council's financial resources/affairs and to support the development and implementation of plans to manage the situation.

The Quarter 2 Financial Update was presented to Cabinet 14 Dec 2022, via Corporate Overview & Scrutiny Committee 08 Dec 2022. The report confirmed projected significant funding gaps for the years 2022/23 & 2023/24 and the need for support from government to help with the financial position. A Section 114 report was issued 19 Dec 2022 by the Acting Director of Finance and a public response provided by the Chief Executive 23 Dec 2022. The Section 114 Report and Chief Executive's Response were presented to Extraordinary Council meeting 09 Jan 2023. The items were considered by Council and proposed action to address the issue agreed.

A draft improvement and recovery plan has been established and the Best Value Inspection report is scheduled to be issued in February 2023. The Council continues to co-operate with the Commissioner and Government and independent financial/legal experts to assess and manage the position. General Fund Budget 2023/24 and MTFS update to be presented to Corporate Overview & Scrutiny, Cabinet and Council Feb 2023.

The Council continues to face financial pressures (i.e. combination of projected reductions in locally raised taxes, increased service costs e.g. adult social care providers and expected reductions in fees/charges) and to develop approaches to maintain a balanced budget (e.g. investments, savings plans, service reviews, expenditure efficiencies, general income increases, managing demand, transformation, etc). All approaches are important to maintain balanced budgets for the life of the Medium Term Financial Strategy (MTFS).

Failure to develop and implement plans to set and maintain a balanced budget, to manage the financial situation and the investment strategy could lead to budget pressures and result in service delivery impacts.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
<ol style="list-style-type: none">1. Government intervention and Essex County Council appointed to oversee the management of the Council's financial resources/affairs (including Best Value review of the governance, audit, risk management, overview and scrutiny functions) and to support the development and implementation of plans to manage the situation.2. Development and agreement of Improvement and Recovery Plan, including:<ul style="list-style-type: none">- Action Plan to achieve financial sustainability and to close any short and long-term budget gaps identified across the period of the MTFS, incorporating a robust multi-year savings plan.- An action plan to ensure the Authority's capital, investment and treasury management strategies are sustainable and affordable.- A strict debt reduction plan and an updated minimum revenue provision (MRP) policy- An action plan to ensure the Authority is complying with all relevant rules and guidelines relating to the financial management of the Authority- A suitable scheme of delegations for financial decision-making3. Pause on new activity under the Council's investment and capital strategy4. Regular monitoring of investment rate forecasts, investment programme and investment returns5. Ongoing assessment of interest rates for inclusion in the MTFS6. Cross Party Shadow Investment Committee established	

7. 2022/23 budget proposals and MTFS established and reported to Cabinet/Council Feb 2022 (via Overview & Scrutiny Committee Jan 2022)							
8. Development of savings plans, linked to the refresh of the MTFs							
9. Ongoing discussions with MHCLG in respect of cost pressures and future funding – Ongoing							
10. Independent assessment of existing investments and strategy							
11. Ongoing work with the Commissioner for the implementation of improvements							
Residual Risk Rating	Date:	07/09/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating: 16

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress					
12. Ongoing application of actions 1-11 above.	From Sept 2022	1 & 2. Ongoing. Draft Improvement/Recovery compiled. BVI report scheduled to be issued February 2023 3-5, 6-8 Ongoing 11. Ongoing					
13. Regular monitoring, review and reporting of the position and progress to the Commissioner and Committees/Boards.	From Sept 2022	Financial update Quarter 1 reported to Cabinet 14 Sept 2022 and Corporate Overview & Scrutiny Committee 06 Oct 2022. Update on Council Borrowing presented to Cabinet 12 Oct 2022. Quarter 2 Financial Update presented to Cabinet 14 Dec 2022, via Corporate Overview & Scrutiny Committee 08 Dec 2022. The report confirmed projected significant funding gaps for the years 2022/23 & 2023/24 and the need for support from government to help with the financial position. Section 114 report issued 19 Dec 2022 by the Acting Director of Finance and sent to all Councillors and public response issued by the Acting Chief Executive 23 Dec 2022. Section 114 Report and Acting Chief Executive's Response presented to Extraordinary Council meeting 09 Jan 2023. Report considered by Council and proposed action to address the issue agreed. General fund budget 23/24 and MTFS update to be presented to Corporate Overview & Scrutiny, Cabinet and Council Feb 2023.					
Forecast Risk Rating	Forecast Date:	Refresh 28/02/2023	Impact:	Critical (4)	Likelihood:	Unlikely (2) Very Likely (4)	Rating: 8 16
Revised Residual Risk Rating	Date:	12/01/2023	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating: 16

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
Failure to develop and deliver plans for improvement/recovery and to deliver the outcomes associated with the Commissioner Intervention, Best Value Inspection and Peer feedback – including having insufficient capacity and capability to deliver - will lead to ongoing financial and governance issues and result in further scrutiny, intervention directions and further significant negative publicity.							IRP Delivery Board, Gary Staples		
Link to Corporate Priority									
All priorities - People, Place & Prosperity.									
Inherent Risk Rating		Date:	03/01/2023	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 03/01/2023	Residual Risk Rating as at: 03/01/2023	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023																																																																																																																																																						
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Comments

On Friday 2 September 2022, the government appointed Essex County Council to support us with the financial challenges we face. This intervention was in response to concerns about levels of financial risk and debt. Essex County Council also commissioned a Best Value Inspection of Thurrock Council which began on 10 October 2022 and is due to report the findings to the Secretary of State 17 February 2023. The Inspection Team was directed by the Secretary of State to consider whether Thurrock Council, in carrying out specific functions, had effective arrangements in place for getting Best Value in its governance, audit (internal and external), risk management, overview and scrutiny functions, and how they affect the provision of services.

The whole council has been treating this situation extremely seriously, working with the Commissioners and Government, as well as independent financial and legal experts to fully understand how the situation has arisen and coming together internally to establish a comprehensive resolution plan to safeguard the council's financial position in the best interest of Thurrock's residents.

The leadership of Thurrock Council – members and officers - need to regain the trust and confidence of our staff, residents, businesses, partners and the government.

Through this Improvement and Recovery Plan we articulate the short, medium and longer-term actions that we will focus upon in order to turnaround the council.

Our key ambitions are:

1. Agree and embed a new vision, values and culture across all levels of the organisation and between officers and members based on openness, transparency, trust, and accountability.
2. Reduce our borrowing as quickly as possible through compliant treasury and reduced capital programmes and a managed investment divesting programme alongside development of a new commercial strategy and framework.
3. Achieve financial sustainability as quickly as possible through a rigorous programme of asset sales, legal recourse, revenue maximisation including council tax increases, decommissioning and service rationalisation, service transformation, cost control and growth. We will move to a position of no more than median spend on all council services compared to our CIPFA comparator group unless there is a strong business case not to do so.
4. Embed a system of strong governance across the organisation based on a comprehensive governance review and including an effective scheme of delegations for financial decision-making.
5. Develop a new locality based preventative integrated operating model for people services. Fewer blended roles will deliver more functions in collaboration with residents and health/third sector partners to reduce demand and cost on our highest cost front doors.
6. Capitalise on Thurrock's growth opportunities by developing a cogent strategic vision for place leadership and growth, recognising our current financial constraints, facilitating more and direct delivering less.

The initial I&RP has been established and implementation commenced. The plan is due to be revised following the BVI report and government response. The residual risk has been rated at a high level (16) as the plan is in the early stages of delivery. The risk/action plan is due to be refreshed in the next review and the documentation will be updated accordingly to reflect the developments and progress against the delivery of the I&RP.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
<p>1. <u>Outline of main stages for improvement/recovery:</u></p> <p>1.1 Government intervention and Essex County Council appointed to oversee the management of the Council's financial resources/affairs (including Best Value review of the governance, audit, risk management, overview and scrutiny functions) and to support the development and implementation of plans to manage the situation.</p> <p>1.2 Ongoing work with the Commissioner/Inspectors to develop improvement and recovery plan.</p> <p>1.3 Thurrock council members and staff co-development of draft improvement and recovery plan for submission to Government.</p> <p>1.4 Update and finalise improvement and recovery plan following feedback and publication of reports from Commissioner and Inspectors</p> <p>1.5 Programme management and delivery risk assessments in place to monitor IRP delivery with reports back to government every 6 months via Commissioners</p>	<p>From 02 Sept 2022</p> <p>From Sept Sept - 3 Dec</p> <p>Jan - Mar 2023</p> <p>Nov 2022 - 2025</p> <p>Ongoing</p>
<p>2. <u>Programme Governance:</u></p> <p>2.1 Finance and Sustainability theme and action plan established and incorporated in the IRP, along with programme governance and management arrangements. Progress is monitored through a dedicated Finance Recovery Board (FRB) that is attended by the theme DB Sponsor, Leader, Opposition Leader, Commissioners and DLUHC. It is held every 2 weeks up until the 2023/24 budget is set when it will revert to monthly.</p> <p>2.2 The overall IRP is monitored through an overarching Improvement and Recovery Board (IRB). The Board meets monthly and is attended by representatives from the Commissioners, DLUHC, Leader, Opposition Leader, Theme DB Sponsors and the Strategic Lead – Corporate Programmes</p>	<p>Sept/Oct 2022</p> <p>From Nov 2022</p>

3. <u>Communication and Engagement:</u>							
3.1 Communication and Engagement Group set up comprising members of Leadership Group from across the Council							From Oct 2022
3.2 Leadership Group meetings now fortnightly							Ongoing
3.3 Managers Conference every 2 months							Ongoing
3.4 All Staff CEX online Briefings every month (or sooner if required)							Ongoing
3.5 Updates through #TeamThurrock email to all staff) on an as-needed basis but normally weekly							Ongoing
4. <u>Resourcing and Capacity Plan:</u>							
4.1 In order to ensure the organisation has the capacity and appropriate skills to deliver the IRP, a dedicated Capacity Plan has been developed outlining the additional resource requirements and the progress with securing/on-boarding the personnel.							From Dec 2022
Residual Risk Rating	Date:	03/01/2023	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating: 16

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
1. <u>Outline of main stages for improvement/recovery:</u>		
1.6 Ongoing application of actions 1.1 to 1.5 as appropriate	From Jan 2023	1.1 to 1.4. Ongoing work Commissioners and DLHUC to develop and implement plan of improvements. Best Value inspection report scheduled to be presented to Government 17 Feb 2023 by Commissioners/Inspectors. Plan to be updated following publication of inspection report. 1.5. Ongoing
1.7 Re-alignment of Corporate Programmes Team structure and responsibilities to support the delivery & monitoring of the IRP	By Mar 2023	1.7 – on target
2. <u>Programme Governance:</u>		
2.3 Ongoing application of actions 2.1 and 2.2 as appropriate	Jan 2023	2.1 & 2.2. Ongoing
2.4 Each of the five themes has an action plan within the IRP and has/will have a programme board made up of Leadership Group representatives (Lead Officers) and others as appropriate, each with a DB and Cabinet sponsor, supported by a dedicated programme manager from the Corporate Transformation team, who will be responsible for developing the action plan further and for supporting the delivery: i) Financial Sustainability	From Jan 2023 (Sept 2022 for FRB)	

<ul style="list-style-type: none"> ii) Governance and Scrutiny iii) Strategic Direction iv) Place leadership and growth v) Leadership and Culture <p>2.5 In addition to the individual theme governance boards an overarching Improvement and Recovery Delivery Board has been convened to ensure oversight of all five themes and the overall IRP is maintained. The Delivery Board has been assembled and met for the first time during the second week of January 2023. It is chaired by the CEO and has DB Sponsors and Programme Managers from all five Themes in attendance together with the Strategic Lead for Corporate Programmes, the Delivery Assurance Manager and the Strategy manager.</p>	From Jan 2023							
<p>3. Communication and Engagement: 3.6 Ongoing application of actions 3.1 to 3.5 as appropriate</p>	From Jan 2023	Ongoing						
<p>4. Resourcing and Capacity Plan: 4.2 Ongoing application of actions 4.1 as appropriate</p> <p>4.3 The Resourcing and Capacity Plan has been approved by the Commissioners and will be monitored through the IRB on a monthly basis.</p>	From Jan 2023 From Jan 2023	Ongoing						
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2023	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Failure to manage demand and budget/resource pressures for Children’s Social Care could lead to a breakdown in the quality or performance of the service provided to vulnerable children and results in less favourable outcomes from inspection and damage to reputation if the service does meet the required standards								Janet Simon	
Link to Corporate Priority									
People - A borough where people of all ages are proud to work and play, live and stay – Build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing.									
Inherent Risk Rating		Date:	28/07/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 28/07/2022	Residual Risk Rating as at: 28/07/2022	Residual Risk Rating as at: 28/10/2022	Residual Risk Rating as at: 23/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

Comments

This risk evaluates the impact of demand and resource pressures on children’s social care quality of service and provision. The pressures outlined throughout previous years remain acute. They include increased volumes, increased complexity and ongoing activity to review high-cost placements and implement efficiencies. The service continuously measures impact of the MASH. Thurrock has introduced a Think Family Service drawing together Commissioned and internal services to pool and reduce resource spend. The early help service model and the Thurrock multi-agency safeguarding hub (MASH) has been successful and this is being supported by the implementation of the Think Family Service. The service continues to maximize the external investment and opportunities presented through Supporting Families through continuing to achieving improved and sustained outcomes which means less children needing statutory services. Thurrock has also been identified as one of 75 local authorities for additional funding for three years to 2024/2025 to implement Family Hubs as part of the early help offer.

The service is demand led and cannot fail to respond to the needs of a child due to budget or resource constraints. Changes on a local, regional and national level can have a significant impact on the demand for services and local authorities’ duties. International factors such as the war in the Ukraine can result in an unplanned increase in the number of unaccompanied asylum-seeking children or families with no recourse to public funds. Thurrock is a local authority that regularly receives UASC. The number of children each local authority is required to have as part of the dispersal of UASC has risen from 0.07(31) to 0.1 (45) of the child population. Geographical movement of families across the Eastern Region and London can see a rise in families needing services, including large sibling groups. Thurrock’s last full Ofsted Inspection was in 2019 and it is expected that we will have a full inspection in 2023. Areas for improvement were identified in the Ofsted (ILAC) 2019 and Focused Visit in July 2021 and a Development Plan has been updated to address identified actions required to maintain the Ofsted rating of Good or improve to outstanding. An Inspection of the Youth Offending Service was carried out by HMIP in May 2022 with an outcome of Good.

The lack of available of foster placements and residential placements for children with complex needs remains a national issue. The level and complexity of some children and young people's needs and the lack of available national resources (specialist placements) to meet those needs is driving up costs. pressures. These are national pressures as well as the increasing difficulties being experienced in recruiting foster carers. As the Council continues to improve practice regarding the identification and tackling of Child Exploitation there is an increase in demand for service provision in terms of intervention, prevention and victim support. Duties in terms of radicalization also place pressures on the service in terms of workforce capacity. Trends can be predicted based on previous levels of demand, but these are subject to variance and there has been an increase in youth violence locally.

The pressures outlined above will not be alleviated in the short term and the risk rating will remain at the higher (red) level for the period covered. There has been and it is anticipated that there will continue to be court delays regarding management of cases this is in part due to the continues impact of Covid 19.

Regular reporting of CSC performance and plans to CS Overview and Scrutiny Committee and monthly Development Board provides oversight for members, the lead member and Director of Children's Services. Review of the Think Families service is currently underway.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Quality Assurance and Safeguarding functions are in place and robustly applied and a Development Board takes place on a monthly basis.								Ongoing
2. Trix Policies and Procedures across Children's Social care. All procedures are subject to review and regular updating.								Ongoing
3. Joint delivery of the 'Early Offer of Help Strategy' and associated services are now embedded to meet 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 and ensure that the 'step down and step up' processes are robustly managed.								Ongoing
4. Internal quality assurance audits to evidence appropriate application of thresholds.								Ongoing
5. Ongoing data analysis to enable us to benchmark and target areas for improvement; complete redesign of KPI and trends analysis.								Ongoing
6. Ofsted inspections and action plans to address recommendations included in inspection report and subsequent visits or inspections are continually reviewed and updated.								April 2022
7. Implementation of the Think Family Service to support early identification and family support and create financial efficiencies.								
Residual Risk Rating	Date:	28/07/2022	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
8. Ongoing implementation and/or application of actions 1 - 7 above			From July 2022	1-7 ongoing				
9. Peer and External Review of Service Areas along with action plans to support improvements and good practice in the service.				Ongoing				
10. Review of Think Family Service to be undertaken by April 2023			By April 2023	A Review of the Think Family Service is underway with a completion date identified in April 2023.				
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	23/01/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner/	
Failure to ensure that all children and young people in need of help or protection are safeguarded and supported could result in them not achieving their full potential and increasing the risk of a child death or serious injury.								Janet Simon	
Link to Corporate Priority									
People – A borough where people of all ages are proud to work and play, live and stay – Build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing.									
Inherent Risk Rating		Date:	28/07/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 28/07/2022	Residual Risk Rating as at: 28/07/2022	Residual Risk Rating as at: 28/10/2022	Residual Risk Rating as at: 23/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

Comments

The nature of the work in terms of safeguarding and supporting children at risk of harm means that this will always be a high-risk area although through the application of Local and S.E.T (Southend, Essex & Thurrock) Child Protection procedures the department actively works to mitigate this risk and reduce the likelihood.

The risk of children and young people coming to harm cannot be eliminated and the risk level needs to remain high and ensure clear vigilance across the council and partner agencies. New and emerging risk factors will arise and there is always a potential for agencies 'not knowing, what they don't know' that needs to be guarded against.

The Early Offer of Help has supported earlier identification of risk through a multi-agency approach enabling the department to work to intervene at an earlier stage and reduce the risk of harm in some cases. Embedding the Multi Agency Safeguarding Hub will further support this and Thurrock Local Safeguarding Children Partnership (LSCP) arrangements is further improving the inter-agency arrangements to safeguard and promote the welfare of children and young people living in Thurrock.

The impact for individual children and families, particularly in cases of child death is significant and whilst actions to reduce the likelihood are implemented the impact will remain as critical. There is also a critical impact score in terms of reputational damage if a child is not safeguarded or should a child death or serious injury occur.

The ongoing nature of risk in child protection and safeguarding is such that despite effective mitigation the acknowledgement of the risk needs to remain high and will not reduce. This is not to say that the risks are unmanageable but for effective management the gravity and complexity of the risk needs to be acknowledged.

Recruitment of qualified and appropriately experienced permanent social workers is an issue nationally with higher turnover rates. A stable and experienced workforce supports the management of risk and where the service is unable to recruit permanent qualified social workers particularly in areas of safeguarding this means there is a reliance on agency staff which has an impact on resources and stability for children.

Managing this risk places inherent pressures on the Children's Social Care budget as a demand led budget. Effective demand and resource management remain a priority for the service within an overriding context of keeping children safe.

Risk will remain constant throughout the period covered. Regular reporting of performance and progress against plans are shared at CS Overview & Scrutiny Committee and regular monthly Development Board.

LSCP action plan is now agreed and a programme of training has been developed, the LSCP are monitoring the progress of this with service leads.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Development and Service Plans in line with Ofsted inspections in 2019 ,Focused visit in 2021 and YOS inspection in May 2022.								June 2022
2. Local Safeguarding Children's Partnership arrangements established, action plan in place and regularly monitored/reviewed.								Ongoing
3. Application of the Southend, Essex & Thurrock Child Protection procedures								Ongoing
4. Quality assurance and safeguarding function of Children's Social Care.								Ongoing
5. Legal framework and court action								Ongoing
6. Continue to strengthen the Thurrock Multi Agency Safeguarding Hub, launch of the Family Hubs and Think Family Approach to support early safeguarding.								Ongoing
7. Case Audits								Ongoing
8. Quality assurance framework								Ongoing
9. Maintaining safeguarding arrangements to meet statutory requirements								Ongoing
Residual Risk Rating	Date:	28/07/2022	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
10. Ongoing implementation and/or application of actions 1-11 above as appropriate	From July 2022	1. Development Board and Ofsted Preparation Meetings held monthly. Areas identified within previous Ofsted Inspection and Focussed Visit incorporated into these meetings to ensure they are addressed. 2-9. Ongoing						
11. Learning from National Safeguarding Reviews taken forward by Thurrock Local Safeguarding Children Partnership.	Dec 2022	Following information gathering – action plan developed and approved which identifies training and further areas for improvement - LSCP monitoring with service leads – training events focusing on learning are planned.						
12. Recruitment/retention strategy & workforce planning.	Ongoing	Ongoing - see comments table.						
13. Caseloads and Management spans of control that support the safeguarding and oversight of casework.	Ongoing	Ongoing.						
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	23/01/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
The Council has a significant portfolio of property for operational, investment and regeneration purposes. Ensuring that these properties comply with appropriate statutory, regulatory and corporate standards is a significant challenge. In addition to the direct consequences of any incident arising from a property's non-compliance, the Council could be faced with damage to its reputation, financial loss, and the organisation and individual officers facing legal proceedings and in the worst case, the loss of lives of building users. It is therefore imperative that suitable policies and systems are in place to ensure compliance and manage these risks.							Mark Bradbury		
Link to Corporate Priority									
Place – A heritage-rich borough which is ambitious for its future. Fewer public buildings with better services People – A borough where people of all ages are proud to work and play, live and stay – High quality, consistent and accessible public services which are right first time.									
Inherent Risk Rating		Date:	31/10/2022	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 15/07/2022	Residual Risk Rating as at: 15/07/2022	Residual Risk Rating as at: 31/10/2022	Residual Risk Rating as at: 27/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

Comments
<p>The Council's Property and Facilities Management (FM) functions have previously been outsourced and have been brought back in house in two separate phases, with FM the most recent in April 2020. The coincidence of this with the global pandemic has to a degree meant that the focus on short term actions in relation to the pandemic has been at the expense of a more strategic approach to planning and resourcing.</p> <p>The ongoing financial challenges faced by local authorities and the changing ways in which services are delivered and people work, many of which have been accelerated during the pandemic, mean that a wholesale review (and thereafter regular ongoing reviews) of the council's property needs and associated policies and strategies (many of which remain as unadopted drafts) is required. These will support the Council's Retain, Reuse, Release approach to property.</p> <p>The Council has already adopted a Corporate Landlord approach to operational property, but this requires appropriate policies to be finalised, the need for corporate properties to be reviewed and the portfolio reduced with sites being consolidated where appropriate and the Property & FM team appropriately resourced to carry out the review, develop and implement strategies and provide ongoing management. The Council's medium term financial plan needs to reflect this resourcing need, the previous failure to transfer full budgets from services alongside the transfer of property and a backlog of maintenance from when properties were managed by services. This pressure should reduce as the portfolio is rationalised and investment focussed on properties which will be retained in the longer term.</p>

The Council has adopted the Concerto platform as its Asset Management System. Implementation of relevant management modules has commenced alongside the transfer of data. This process needs to be accelerated to ensure that the Council has a full picture of ownership, compliance and risk. Property & FM need to work closely with IT to ensure that the system sits smoothly within the Council wide transition to Microsoft 365.

The lack of appropriate strategies, resources and budgets increases the risk of non-compliance in the operational property portfolio and this needs to be addressed to inform the transition to a smaller, more cost efficient, fit for purpose and ultimately net-zero portfolio.

The closure of CO1 and opening of CO3 together with the changes in working practices and service delivery outlined above mean that it is now appropriate to undertake a review of the Civic Centre to ensure optimum utilisation of the space and effective systems covering health & safety and personal, data and asset security

A Property Board will now be set up to ensure effective decision making, governance and reporting around strategic property matters including asset rationalisation, investment strategy, disposals and engagement with regeneration projects.

An Accommodation Board has now been set up to work with services to ensure effective and properly planned use and reuse of operational assets whilst meeting service needs.

The Property & FM Team has a number of vacancies and is also currently over reliant on a significant number of agency staff. Following the promotion of the new Assistant Director to Interim Director of Place steps are being taken to backfill this role and review the structure and recruit into permanent roles. A challenging recruitment market and current perceptions of the Council's financial position present a risk to achieving this.

The Council also owns and manages a portfolio of investment properties. A review of whether these properties meet the current financial, economic and social priorities of the Council and Borough is overdue. Additional resource will be required in the short term to do this and this should be carried out alongside the development of a Property Investment and Investment Management Strategy.

Properties in the Investment portfolio may be affected by the Minimum Energy Efficiency Standards (MEES) which require that no property with EPC ratings of F or G cannot continue to be leased after 1 April 2023. It is important that Council has a clear understanding and the buildings in its portfolio that may not comply. A significant number of properties still need to be assessed and this will require additional resource. Penalties of between 10 and 20% of the properties rateable value may be applied in the event of breaches.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Corporate Health and Safety Committee established.	Ongoing
2. Asset Management Strategy drafted, consultation with officers undertaken and final draft awaiting DB approval	2018 & ongoing
3. Comprehensive Asbestos Register in place – review being undertaken to ensure accurate building information in place	2018 & ongoing
4. Property Procedure Rules (PPRs) prepared, consulted with officers and key members, awaiting DB approval. Additional Disposals Procedure prepared and submitted for approval in March 2020.	Ongoing
5. Scheme of Delegations reviewed, amended and implemented.	Ongoing
6. Restructure of Regeneration and Assets Service completed in September 2019 and Corporate Property Team transferred to Finance. Apleona FM staff TUPE'd in April 2020.	Mar 2019 to Apr 2020
7. Transfer of all phases and budgets completed	From Jun 2018
8. Compliance and condition surveys for Corporate Landlord Buildings completed April 2020 and new stock condition baseline established and entered into Concerto (new asset management database system), in June 2020.	Jun 2018 to Jun 2020

9. Regular updates on progress and compliance presented to Property Board	From July 2018
10. Retain, Release, Reuse programme for assets implemented	From June 2018
11. Corporate Landlord Working Group developed and work undertaken until Aug 2019	2018 to Aug 2019
12. New Planned & Preventative Maintenance (PPM) programme and compliance module developed and proposal submitted in March 2020 to refresh Property Board with key reporting milestones set against a clearly defined annual forward plan.	Mar 2020
13. Closure of Corporate Buildings due to Covid-19 - Risk assessment, closure protocols & inspection regimes implemented and measures introduced for partial use of Civic Centre and Oliver Road Depot.	March 2020
14. Development of plans in accordance with government guidance for the recommissioning of corporate buildings due to Covid19	Dec 2020
15. An urgent review and restructure of the FM team to cover capacity, skills, technical knowledge and capability constraints.	From August 2020
16. Corporate Landlord Policy and Procedure approved following finalisation of resourcing and governance issue associated with PPRs and restructure approved.	From Oct 2020
17. Finalisation of Concerto Estates Management Module and training for staff	From Oct 2020
18. Review and restructure of the Corporate Property Team	From Dec 2020

Residual Risk Rating	Date:	15/07/2022	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
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FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
19. A full review of actions 1 to 18 above to understand level of completion and actions outstanding.	From Sept 2022	Commenced
20. A full review of all current (including draft) policies & strategies	From Sept 2022	Commenced with Paper planned to go to Cabinet in June 2023
21. Establishment of Property Board and Accommodation Board	From Sept 2022 Feb 2023	Accommodation board in place. New Interim AD for Property & FM commenced Jan 2023 and further work to establish boards scheduled from Feb.
22. Review of team structure and recruitment to replace agency staff.	Sept 2022	Bespoke Asset Disposals Team set up and interim staff on board. New Interim AD for Property & FM commenced Jan 2023. Business case being finalised for structure

Forecast Risk Rating	Forecast Date:	Refresh 31/03/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
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Revised Residual Risk Rating	Date:	27/01/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
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UNMANAGED / INHERENT RISK

Risk Description	Risk Owner								
<p>The Waste Strategy for Thurrock was adopted by Cabinet in November 2020. The strategy called for radical changes to the waste collection regime across the borough, including the introduction of a separate weekly food-waste collection and a move to alternate-weekly residual waste collections (AWC). As part of the move to AWC there is a requirement to procure a number of larger and specialised waste collection vehicles via procurement framework. The purchase of these vehicles was critical to the delivery of the new services which was originally purposed for September 2022. However, certain factors including further details relating to the proposals in the Governments Waste Strategy for England, a decision was taken to delay the introduction of the new waste collection regime until September 2023.</p> <p>The consultations of a number of elements within the Waste Strategy for England including Extended Producer Responsibility (EPR), Consistent Collection and more source-separated recycling collections are still being debated and any potential impact on the strategy for Thurrock is not known in full at this time. These consultations may also have an impact on a number of waste-disposal contracts presently being negotiated for tender and some potentially challenging decisions may have to be made in order to have appropriate and suitable disposal arrangements in place, that have the potential to allow variations should the national strategy dictate.</p> <p>Key Risks are as follows: Timeline: The Strategy roll-out is planned to commence in September 2023, and in advance of this roll-out a number of elements need to be in place in the lead up to the start-date. Vehicles have been received, and we need to ensure that full risk assessments and safe methods of working are established. Food-caddies have been procured and a schedule of delivery for these caddies needs to be developed. A complete overhaul of the existing waste collection-rounds using Route-Optimisation software is necessary with the new routes having been shared with Trade Unions and operational staff and a communications campaign designed and implemented to support the new scheme to ensure residents are fully aware of all changes and expectations. These elements will need to follow a planned schedule in order to be successful.</p> <p>Political Differences: While the Waste Strategy for Thurrock was approved by Cabinet, there have since been concerns raised by a number of elected members around the collection regime proposed within the Strategy. The Political arena has not changed over the last round of elections, however given the vigorous programme of annual elections within the borough there still remains a potential for a change in leadership that may or may not influence the decisions made as part of the Strategy, as while the overall aim is to improve recycling performance the route to this improvement is open to interpretation and individual political direction regardless of the earlier cross-party co-operations.</p> <p>Government Influences: The Central Government continue to consult around various elements of the Waste Strategy for England, some of which may still have direct financial impacts as they come to fruition. The decision to introduce a mandatory separate food-waste collection by 2023 has determined a number of critical decisions had to be made in order to meet this deadline that may now potentially risk not qualifying for government funding being made available due to said decisions already been taken. The Waste Strategy for Thurrock was written to encompass the current National Strategy, however this stance is fluid and there is a continued risk the Waste Strategy may not now fully embrace the statutory demands of National Policy and may still be subject to further discussion and adjustment.</p>	Julie Rogers								
Link to Corporate Priority									
<p>Place - a heritage-rich borough that is ambitious for its future. Fewer public buildings with better services People – a borough where people of all ages are proud to work and play, live and stay. High quality, consistent and accessible public services that are right first time. Prosperity – a borough that enables everyone to achieve their aspirations. Commercial, entrepreneurial and connected public services.</p>									
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DASHBOARD

Inherent Risk Rating & Date: 01/08/2022	Residual Risk Rating as at: 01/08/2022	Residual Risk Rating as at: 04/11/2022	Residual Risk Rating as at: 23/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/08/2023																																																																																																																																																						
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Comments

The Waste Strategy for Thurrock has been adopted and preparations for its implementation have begun. National Strategy and Policy are still being consulted upon and decisions are still being finalised. This has the potential to leave the councils strategy for waste at risk of non-compliance in some areas, however as the Strategy is considered a living document, adjustments and amendments are anticipated. If the national strategy becomes such that decisions taken at the start of writing the local strategy may result in service-delivery choices requiring rethinking or changing. The risk is that such choices around vehicle-design etc. are difficult and potentially costly to change once made. As a result of certain factors, including the ongoing consultation by Central Government on the Waste Strategy for England, a decision was taken to delay the introduction on the new waste collection regime for Thurrock until September 2023.

Current staffing provision is not sufficient to deliver this project with the current service pressures and puts the project delivery at risk. Bartec (IT system for waste management services) is currently not up to date and therefore it is unlikely that the provision of data required to accurately route the work is not adequate, additional resource, is required as part of a project team to deliver this project. The staffing establishment is under that of what is required to deliver a collection service to our residents, both now and potentially in the future. Vehicle Risk Assessments show that there is a significant proportion of the roads within Thurrock that cannot be collected by a side loading vehicle for food waste, meaning that alternative collections methods may need to be found. Work ongoing to consider resourcing issues and alternative collection methods to manage the situation.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented									
1. The Waste Strategy for Thurrock was formally approved in November 2020.	Nov 2020									
2. The procurement process for the new collection vehicles has been completed and the tender awarded to the successful supplier.	Completed									
3. Orders for the vehicles placed and delivery programme details are in discussion to finalise delivery dates that will ensure the new collection regime can commence as planned in September-22.	Orders placed									
4. Regular monitoring and consideration of consultations with regard to the Waste Strategy for England and reporting of outcomes and impacts.	From July 2021									
5. Regular monitoring and reporting to Directors Board, Overview & Scrutiny and Cabinet as appropriate.	From July 2021									
6. Programme of phased delivery of vehicles	Dec 21 - Sept 23									
7. Consultation & communication with stakeholders.	Ongoing									
8. Single Tipping location for all waste streams	Ongoing									
<table border="1"> <tr> <td>Residual Risk Rating</td> <td>Date:</td> <td>01/08/2022</td> <td>Impact:</td> <td>Substantial (3)</td> <td>Likelihood:</td> <td>Unlikely (2)</td> <td>Rating:</td> <td>6</td> </tr> </table>	Residual Risk Rating	Date:	01/08/2022	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6	
Residual Risk Rating	Date:	01/08/2022	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6		

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress						
9. Ongoing application of 1 – 8 above as appropriate			From July 2022	<p>3&6. Completed. All vehicles have now been received</p> <p>4. The Waste Strategy for England have now begun consultation on the potential for mandatory further-separation of dry recyclable materials, which if such changes become law will impact on the planned collection methodology within the WS-4-T and potentially require adjustments to the collection regime, an increase to the numbers and/or types of bins/ receptacles provided to residents and the associated costs to the above.</p> <p>5. Any such changes as mentioned above will then need to be debated and approved by DB, ONS-C&G & Finance, before implementation</p> <p>8. Completed. The council have a number of waste disposal contracts and we are due to retender the main disposal contract for residual waste in April 2023, however all domestic waste collected from the kerbside collections and a number of waste streams from the HWRC are all disposed of at a single bulking/transfer location at Aherns Waste Transfer Station, near Oliver Close Depot. While Aherns have several alternate sites for TBC to utilise in the event of a major incident or sustained period of closure, these locations are all out of the Thurrock area. In such an event there would be a considerable impact on domestic collections where all TBC vehicles were required to use an alternate transfer location, with impacts on collection-times. Travelling and fuel costs, with a high probability of collections not being carried out where vehicles are losing time while travelling out of the Thurrock area. Council's approval board for spending have rejected an application for external legal support and expertise for the procurement of the Council's waste treatment contract, this puts the Council at significant financial risk, in light of Government proposals regarding the Emissions Trading Scheme (ETS) and the changes that will be enabled by the Environment Bill.</p>						
10. Route optimisation exercise.			From Jul-22 to Jan-23	Data-cleansing is being carried out, a 'bin-store' container-audit has been implemented to confirm numbers/sizes etc. for input to the route-optimisation software. More resource are required to deliver this						
11. Food caddy procurement and delivery			From Jan-23 to Aug-23	A planned schedule of delivery has been laid out, which will ensure food-caddies will be delivered in order of priority to ensure the new food-waste/recycling collection rounds can be implemented commencing Sept 2023						
12. Discussions with HR regarding resourcing are taking place			Ongoing	Ongoing						
13. Alternative collection methods are being considered/discussed			Ongoing	Ongoing						
14. Roll out of Waste Strategy			Sept 2023	Ongoing						
				Roll-out adjusted to accommodate changes as referred to above.						
Forecast Risk Rating			Forecast Date:	31/08/2023	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6
Revised Residual Risk Rating			Date:	23/01/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
The Council is responsible for and provides a wide range of functions and services.								Michal Dineen	
There is a risk that the Authority experiences significant incidents of fraud, bribery, corruption or other economic crime as well as cases of money laundering. This can subsequently result in losses from the delivery of Council functions and services.									
Link to Corporate Priority									
People – a borough where people of all ages are proud to work and play, live and stay. High quality, consistent and accessible public services which are right first time.									
Inherent Risk Rating		Date:	13/07/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 13/07/2022	Residual Risk Rating as at: 13/07/2022	Residual Risk Rating as at: 08/11/2022	Residual Risk Rating as at: 12/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

<p>Comments</p> <p>The Counter Fraud and investigation (CFI) department, under Thurrock Council, has an organisational-wide strategy and proactive work plan to monitor and manage the identified risks. A persistent training and education regime is in place, where experts from the service work with staff, contractors, Members and in the council’s supply chain to identify and mitigate the risks, and increase awareness.</p> <p>The council has current and effective policies on Counter Fraud, Bribery & Corruption and Money Laundering which are kept under constant review, with relevant updates being added or removed where appropriate. These policies acknowledge the threats and install an action plan in identified incidents including, civil & criminal litigation and redress to recover any identified losses. Any control weaknesses identified in investigations are rectified in collaboration with the affected services and Internal Audit through SMART Action Plans.</p> <p>In past years (FY20/21) the council has come under pressure from COVID-19 and the situation has reduced the traditional work that CFI would complete during a year, however that has not meant the team haven’t assisted in the fight against fraud. Due to the pandemic the government announced a number of grants that were to be administered by local authorities, these were collectively known as Business Support Grants (BSG). The CFI dept have worked closely with the Revenues team (those responsible for administering the grants) to complete pre and post assurance checks on all applications that were received. This preventative counter fraud work saw 61 grant applications investigated and stopped, saving over £600,000 of potential losses of public funds.</p>

These risks have sat alongside the 'normal' fraud risks that the council faces every day, namely Single Person Discount fraud, Tenancy Fraud, Right To Buy fraud as well as other forms of fraud such as Procurement/Contract fraud. The fraud awareness programmes that were put to all staff will assist with identifying this risk and early intervention is always key to an organisation combating the risk it faces. These have continued and working alongside our alert system, staff are made aware of fraud trends and or known risks.

Covid 19 has also enabled an easier avenue for 'mandate fraud' which has been highlighted to staff, as we are not in the office spaces we once shared on a daily basis, communication is largely placed within the email systems. This can create the opportunity for criminals to compromise email accounts and facilitate a fraud. Where staff would normally be able to speak directly to a colleague, this now does not happen on a regular occurrence and must be brought into the risk faced by the council. CFI have been approached by various councils who have fallen victim to £1m+ mandate frauds.

CFI continues to run a programme of proactive work proposed to ensure the council's posture against fraud is robust and effective. Details of the proactive work programme are included in the management action plan for the risk. Proactive work plan and CF&I Quarter 1 Update report provided to Standards and Audit Committee in July & October 2022.

The risk remains at 12, as new risks have emerged alongside old risks, the new risks have mitigated measures taken, however it is clear that those measures do not affect the 'attempts' we come across and thus it is felt that the risk to the council remains likely and critical. The council can ill afford a substantial loss of funds at this very critical time.

A recent attempt at a MANDATE FRAUD took place that targeted senior members of the council staff. This was not successful nor was it sophisticated. It has been established that this was an attack from outside of the UK and law enforcement was notified. Counter Fraud measures worked, in that this was immediately reported to CFI and email headers etc were captured. Financial information provided during the fraud attempt also allowed for the accounts to be notified as being used in fraud and disrupted the fraud group's ability to hold the account open. Further education on various fraud scams will be published in the coming weeks.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Establishment & proactive enhancement of CFID	Nov 2014
2. Fraud and Corruption Policy established and maintained from 2014	From 2014
3. Counter Fraud Work Plan established and maintained	2017
4. Regular review of policies and procedures from within the council to ensure that it can prevent, detect and deter and fraud and other economic crime.	From Nov 2014
5. Counter Fraud and Money Laundering Policies Established and maintained.	2017
6. Corporate-wide Bribery & Corruption Risk Review	From Oct 2018
7. Corporate-wide Cyber Crime Risk Review	From Dec 2018
8. Fraud risk matrix/loss assessment development and roll out	From Jul 2018
9. Review of supply chain against identified national crime risks	Oct 2018
10. Ad-hoc services to prevent/detect fraud (e.g. operations to prevent/detect housing tenancy fraud, counter money laundering & social care fraud)	From Oct 2018
11. Enhanced intelligence programme	Feb 2019
12. Application of Counter Fraud Risk Analytics across the council's high risk/threat areas.	From May 2020
13. Install improved Anti-Money Laundering (AML) controls at all of the council's Customer Contact Points.	From May 2020
14. COVID-19 Business Grants Counter Fraud Programme.	From May 2020
15. Fraud e-learning training programme.	Dec 2020
16. Training of high risk areas in counter fraud measures	From Jun 2021

17. Mandate Fraud – Counter fraud/awareness								July 2021
18. Renewed Education & Marketing Campaign for Countering Fraud, Bribery, Corruption and Money Laundering								From Dec 2021
19. Ongoing review all policies concerning fraud aspects								Jan 2022
20. National Fraud Initiative – matching of council data with wider-public sector data to prevent fraud and possible fraud.								March 2022
21. Training of high risk areas in counter fraud measures								May 2022
22. Covid -19 Business Grants Counter Fraud								May 2022
23. Targeting POCA and Civil Legislation to maximise effect on criminal behaviour								From Jun 2022
Residual Risk Rating	Date:	13/07/2022	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
24. Ongoing application of actions 1-23 above as appropriate.	From July 2022	1-13, 15,17 Ongoing 14. Completed (see comments table for details) 16&21. Ongoing and will be delivered to the high-risk areas. Intention to deliver fraud training to members within next 6 months. 22. Completed and ongoing 23.This will be continued and working with Environment Crime Unit will be first to utilise the relationship						
25. Review all relevant policies concerning fraud aspects of the council's business	Jan 2023	This has been completed by Michael Dineen, AD for fraud.						
26. Fraud Health Check on the Social Care application process	Apr 2023	This is in planning and a strategy will be delivered to the Assistant Director and Director within this work area.						
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	12/01/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description	Risk Owner								
<p>Councils have a legal obligation to put together a Development Plan. The main document within our current Development Plan is the Core Strategy (as amended) which was adopted in 2015 although some policies within it date to 2011. The National Planning Policy Framework states policies in the development plan, should be reviewed to assess whether they need updating at least once every five years, and should then be updated as necessary. Work on reviewing the Core Strategy and replacing it with a new Local Plan commenced in 2014. Although the Council has already undertaken two public consultations on the emerging Local Plan and prepared/commissioned several technical evidence studies we are still at an early stage in the plan making process and will need to undertake at least two more formal consultations before the new Local Plan can be submitted to the Secretary of State and then subject to an independent Examination in Public.</p> <p>Failure to prepare and maintain an up-to-date Plan will put the Council at risk of possible intervention by the Secretary of State and may lead to the loss of plan making powers and the Council's New Homes bonus and the ability to bid for national funding support for new infrastructure. In addition, a failure on the part of the Council to provide a rolling five-year land supply would also increase the possibility that landowners and developers would be able to obtain planning permission upon appeal to the Secretary of State for speculative, uncoordinated and piece-meal development in the Green Belt.</p> <p>Potential risks include:</p> <ul style="list-style-type: none"> • Uncertainty surrounding the alignment, design and phasing of the Lower Thames Crossing (LTC) which could have an adverse impact on the availability of land for future development. There is also a risk that any further delay in concluding the LTC DCO process will impact upon the Councils ability to submit its Local Plan for examination. • Uncertainty surrounding the alignment, design and phasing of the East Anglia Green Energy Enablement (GREEN) project which could have an adverse impact on the availability of land for future development. • Impact of Covid-19 in terms of team resources (risk of illness) and the plan-making process specifically with regards to planned face to face consultation events. • Impact of the Census information releases and publication of datasets looking at post pandemic trends on our evidence base production. Unexpected changes could involve us having to recommission evidence to ensure that the future and existing needs of local communities are appropriately addressed within the Plan. • Further changes to the national planning policy and guidance which could impact upon the content emerging policies and evidence causing delays to the plan making process as the Plan needs to be in conformity with national policies to be found sound. • Potential changes to guidelines about how a Plan should be prepared and its format could involve the Council having halt production of the Local Plan to transition over to the preparation of a different type of Local Plan. • An ongoing failure to recruit and retain experienced policy planners to support and expedite the preparation of the Local Plan. • Reduction in resource allocation towards the Local Plan project which could delay and/or halt the Plan's production. • The impact of local and national political considerations on the plan-making process. 	<p>Mark Bradbury Leigh Nicholson Sean Nethercott</p>								
Link to Corporate Priority									
<p>Prosperity – A borough which enables everyone to achieve their aspirations. Attractive opportunities for businesses and investors to enhance the local economy Place – A heritage-rich borough which is ambitious for its future. Roads, houses and public spaces that connect people and places</p>									
Inherent Risk Rating	<table border="1"> <tr> <td>Date:</td> <td>31/08/2022</td> <td>Impact:</td> <td>Critical (4)</td> <td>Likelihood:</td> <td>Very Likely (4)</td> <td>Rating:</td> <td>16</td> </tr> </table>	Date:	31/08/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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DASHBOARD

Inherent Risk Rating & Date: 31/08/2022	Residual Risk Rating as at: 31/08/2022	Residual Risk Rating as at: 07/11/2022	Residual Risk Rating as at: 31/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023																																																																																																																												
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Comments

An up-to-date Local Plan is the main way that councils set their planning policies. Previous planning policy documents that have expired do not carry the same weight when it comes to deciding the outcome of a planning application. Without an up-to-date Local Plan, councils can lack the policies they need to prevent inappropriate or damaging development in their area.

In 2014 Thurrock Council committed itself to preparing a new Local Plan. This Plan will set out the planning strategy and priorities for the area and covers issues such as where new housing should be built, what type of homes are needed, and what additional infrastructure will be required to accommodate those homes. It can also designate land for different purposes, such as residential or industrial, and can give protection from development to open and green spaces.

The new plan will set out a clear strategy for the council area, and for the different communities that make up that local authority. Rather than having to take a fragmented piecemeal approach to each individual development, a up to date Local Plan provides structure and represents a more coordinated and holistic approach to planning and managing growth.

Policies and allocations within the emerging plan will apply to development schemes being promoted by private individuals, businesses and organisations as well as schemes being put forward by the council and other public sector organisations.

Preparing a Local Plan in an area such as Thurrock can be very complex as there are lots of competing land pressures (balancing the need for new homes, against economic growth and the need to protect and enhance green infrastructure assets), several Nationally Significant Infrastructure Projects which have the potential to come forward or commence within the Plan Period and potential changes to the national planning system.

For a Plan to be successful and to appropriately balance these competing pressures we need to ensure that the plan making process is supported by robust evidence and that all key stakeholders including locally communities have been given appropriate opportunities to feed into and shape the Plan. Over the last few years, we have made some progress towards completing the Regulation 18 stage – but additional stakeholder engagement and technical evidence is required before we can move on to producing a Publication Draft Plan (Regulation 19). Changes to financial processes within the authority means that there is now some uncertainty as to whether the funding will be available to commission the technical evidence needed to support the Plan making process. In addition, the Local Plan team have struggled to fill vacant posts that sit within the team structure. Currently we are still on schedule to meet our next plan making milestone but if we are unable to secure the necessary funding and fill our vacant posts there will be delays to the plan making process and the plan adoption date would likely need to be pushed by 12-18 months.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
<u>1. Main Plan Making Stages</u>								
1.1 Initial Call for Sites								Annual/ongoing
1.2 Issues and Options (Stage 1)								Feb - Apr 16
1.3 Your Place, Your Voice Roadshows								2018/19
1.4 Issues and Options (Stage 2)								Dec18 - Mar19
1.5 Area Based Design Charrettes								Dec20 - Mar22
1.6 Your Place, Your Voice Roadshows, Informal consultation								July22-Sept22
<u>2. Other elements and/or measures developed to manage the impact of the risk of the local plan being frustrated, delayed ore derailed by internal & external influences:</u>								
2.1 Adopting an iterative approach to developing the local plan evidence base, including testing a range of scenarios to help better understand the potential options (e.g. with/without LTC). Evidence based approach to plan making to ensure that both Members & the Local community are made fully aware of the implications and impacts of adopting a range of different spatial options.								Ongoing
2.2 Ongoing engagement and communication with Stakeholders								Ongoing
(i) Members								
(ii) Public								
(iii) Gov Bodies/Depts, Public Bodies/Organisations								
(iv) Businesses, Land Owners & Developers								
2.3 Maintain and build resources/capacity to support the plan making process and help fund/prepare the plan.								Ongoing
(i) Recruitment & Retention of staff								
(ii) Rollout of Local Plan Performance Agreements (PPAs)								
(iii) Build capacity with Gov Bodies/Depts to support the early delivery of homes and supporting infrastructure								
2.4 National Planning Reforms								Ongoing
Residual Risk Rating	Date:	31/08/2022	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
Ongoing application of items 1 - 2	From Aug 2022	1.1 Ongoing 1.2-1.6 Completed 2.1 (and 2.2(i)) Several key studies are currently underway. However, there are still significant gaps in the evidence base, the Local Plans Team are currently reviewing the evidence program to ensure that it is robust and proportionate. The Local Plan Team are also running a series of all Member events to give Elected Members the opportunity to better understand the plan making process and check and challenge the assumptions and evidence feeding into it. 2.2 Work ongoing with the Communications Team to update the web content

		<p>2.2 (i) Ongoing Members Briefings to build understanding & maintain cross-party support for the emerging Local Plan, including Portfolio Briefings, Local Plan Taskforce meetings, informal cabinet meetings and discussions with relevant Overview and Scrutiny committees.</p> <p>2.2 (iii) Ongoing proactive engagement with NH & Gov depts on LTC scheme</p> <p>2.2 (iv) Ongoing engagement with landowner and developers via Local Plan Developer Forum and the Local Plan Planning Performance Agreement (PPA) process to support/ the preparation of the Local Plan.</p> <p>2.3 (i) Ongoing work with other services in planning to improve employment terms/conditions to help recruit & retain experienced planners. Ongoing recruitment of additional professional/technical support (e.g. appointments of full-time staff, consultants & short term fixed term contracts) to support plan preparations.</p> <p>2.3 (ii) Ongoing rollout of the Local Plan Planning Performance Agreements (PPA) with site promoters to support the preparation of the Local Plan</p> <p>2.3(iii) Ongoing work with Dept for Levelling Up, Housing & Communities; Homes England, Dept for Transport and Highways England.</p>
<p><u>1. Main Plan Making Stages</u></p> <p>1.7 Informal consultation opportunity – Local Plan Evidence Roadshow</p> <p>1.8 Local Plan – Preferred Options (Regulation 18)</p> <p>1.9 Local Plan (Reg 19) – Pre-Submission Draft</p> <p>1.10 Local Plan - Submission</p> <p>1.11 Examination in Public with people who have consulted previously</p> <p>1.12 Main modifications consultation</p> <p>1.13 Inspectors Report Published</p> <p>1.14 Adoption of Local Plan</p>	<p>Jan 23</p> <p>July 23</p> <p>July 24</p> <p>Oct 24</p> <p>TBC</p> <p>TBC</p> <p>TBC</p> <p>TBC</p>	<p>1.7 Technical evidence originally anticipated to be completed late September have not yet been finalised. We are aiming to publish this information on our website before the end of February. As a result of these delays and budget pressures we have decided to change the format of events and are looking to piggyback onto community forum meetings over the coming months.</p> <p>1.8 We have started pulling together a skeleton draft of the document and are currently populating key sections of the draft Plan for discussion with Senior Officers and elected Members. These discussions are anticipated to take place over the next few months and should ensure that the content of the Plan and the reasoning behind specific policy choices are fully understood by all when the document is considered by Full Council in July 2023.</p>
<p><u>2. Other elements and/or measures developed to manage the impact of the risk of the local plan being frustrated, delayed ore derailed by internal & external influences:</u></p> <p>2.5 Ongoing consideration of Nationally Significant Infrastructure Projects that may influence the plan (LTC, Future expansions of Tilbury Port, London Resort and National Grid Green)</p>	<p>Ongoing</p>	<p>2.5 The Lower Thames Crossing entered into the DCO process last year – Strategic Services will need to contribute to the Council’s response process,</p>

2.6 Ongoing consideration of the Levelling Up and Regeneration Bill			Ongoing	<p>it is anticipated that we may need to collectively contribute approx. 37hrs per month.</p> <p>2.6 The “Levelling-up and Regeneration Bill: reforms to national planning policy” consultation began on 22 December and ends on Thursday 2nd March 2023. The consultation: Sets out NPPF amendments intended to be made quickly; Discusses the potential scope of a future NPPF consultation, to be carried out alongside a consultation on the first National Development Management policies; Proposes other policies and legislation that would be enabled by Royal Assent of the Levelling Up and Regeneration Bill; Includes policy and legislation related to other primary legislation and topics. It is unclear at the moment how much of an impact these changes may have on the emerging Local Plan.</p>				
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	31/01/2023	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
A lack of affordable private rental sector (PRS) accommodation in Thurrock due to increased rent levels, driven by migration in to the borough and welfare reforms meaning those on means tested benefits are unable to keep pace. These, coupled with the implementation of additional duties under the Homelessness Reduction Act 2017 (HRA17), have led to a year-on-year increase in households approaching the Council for homelessness assistance and associated pressure on the MTFs Homelessness budget.								Ewelina Sorbjan	
Link to Corporate Priority									
People - a borough where people of all ages are proud to work and play, live and stay. Build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing.									
Inherent Risk Rating		Date:	01/07/2022	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 01/07/2022	Residual Risk Rating as at: 01/07/2022	Residual Risk Rating as at: 01/10/2022	Residual Risk Rating as at: 03/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

Comments

The C-19 pandemic saw a ban on evictions and the closure of Courts which, having reopened, are now clearing the backlog. There is a nationwide increase in Evictions of 158% according to Govt statistics. The current inflationary pressures and supply side issues detailed above have seen more Thurrock residents accruing rent arrears and facing eviction with all economic indicators suggesting this will continue throughout 22/23. Neighbouring Authorities (particularly London LAs) are placing individuals and families in high volumes further saturating the Private Rental Sector market and driving up prices. Landlords are evicting for rent arrears and to achieve higher rents (above LHA) on their units. Landlords are insisting on large incentive payments, circa £3-5k, to grant an assured shorthold tenancy to someone on means tested benefits without a guarantor.

In the final year pre-HRA17 (2017-18), 1395 households approached the council for assistance with homelessness. The numbers of households approaching the council has been consistently higher since, with 1638 households approaching in 2018-19, 2026 households approaching in 2019-20, 1823 households approaching in 2020-21 and 1821 households approaching in 2021-22. This represents a 30% increase in approaches since the HRA17 was introduced, and the number of approaches is likely to have been higher had it not been for the action taken to protect renters during the COVID-19 pandemic. Through Q1 2022/23, 495 households approached the council for assistance with homelessness – this represents the most Q1 approaches since 2019/20 (494).

One of the most common reason for homelessness in Thurrock remains the termination of an assured short hold tenancy. These most marked trend is for these evictions from assured shorthold tenancies are driven not by rent arrears or any other 'tenant fault' grounds, but by the landlord opting to evict the current tenant and re-let the property at a higher rent for the reasons set out above.

Thurrock's strategic geographical location (adjacent to London with excellent transport links) makes it an affordable and desirable area. The lower quintile housing market value is a realistic housing option when compared to London. As such, and in the light of London's scarce housing affordability, moving to Thurrock is increasingly an option which families now living in London are considering.

The Council's Homelessness Prevention and Rough Sleeping Strategy represents an ambitious approach rooted by the fundamental principle that homelessness is not simply a housing issue, but is instead a complex social challenge requiring true collaboration to tackle effectively. A Homelessness Partnership Board has been established which aims to achieve the key strategic aims included within the Strategy document. These will be reached having a jointly developed and owned action plan, where successful outcomes will be delivered by leveraging the collective knowledge, experience, influence and expertise of the range of board members and their respective organisations.

Work is ongoing to reduce the use of, and thereby costs of, Temporary Accommodation (TA) in the private rented sector however the use of the council's own stock for temporary accommodation will have a detrimental impact on the availability of properties to applicants on the Housing Register. Housing Solutions are working with homeless households and private landlords to secure longer term private sector tenancies by incentivising landlords.

Last year Housing had a business case approved which utilised 'Right to Buy' receipts, combined with HRA prudential borrowing, to purchase properties in line with need. These were initially used to move people on from expensive nightly purchase TA into units incorporated into tenancy managements general needs stock. Further units were purchased which are to be used as 'Furnished Lets' as a cost-effective way of providing our own TA and maintaining homeless households within Thurrock. There is a new business case being considered under the 'transformation plan' to further expand this project.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Providing residents with budgeting advice as part of their personalised Housing Plan and assistance to access support services, including advice provided by our Financial Inclusion Officers	Ongoing
2. Working with internal and external partners to support households which are homeless or at risk of homelessness through contracted services and the regular Housing Mental Health and Homelessness Forum	Oct 2018
3. Working with internal and external partners to review welfare reform and assess implications in a strategic forum, including addressing challenges resulting from welfare changes and increasing financial inclusion across the borough in conjunction with the Council's Fair Debt programme.	Jan 2019
4. Provision of incentives to encourage under-occupying social housing tenants to move to smaller properties.	Ongoing
5. Use of the Jigsaw and Northgate Housing Management systems to generate management and performance information to drive improvements to service delivery	Nov 2016 / Apr 2018
6. Additional funding achieved to mitigate impact of new duties which form part of Homelessness Reduction Act, allowing for the recruitment of additional officers.	April 2022
7. Regular contact and meetings with a Homelessness Adviser from MHCLG to ensure awareness of further funding and emerging best practice.	Ongoing from April 2019
8. New Homelessness Prevention and Rough Sleeping Strategy	March 2020
9. Implementation of selecting licensing to improve quality of private rental sector properties in selected localities across the borough	Nov 2021
10. Additional funding obtained from MHCLG to provide a focussed service (BEAM) aimed at empowering applicants to find employment and training opportunities.	Jan 2020
11. Establishment of Homelessness Partnership Board to drive forward the key strategic actions in the Homelessness Prevention & Rough Sleeping Strategy	Mar 2020

12. Adopting a Human Learning Systems Approach to achieve sustainable interventions for those with multiple and complex needs emphasising the need for collective work across and within departments.								Nov 2021
Residual Risk Rating	Date:	01/07/2022	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
13. Ongoing application of actions 1-12 above as appropriate	From July 2022	7&10. DLUHC visited and gave positive feedback.						
14. Creation of a 'Complex Care' team to lead on Housing Solutions work with people in housing need whose Mental Health or Substance misuse effects their ability to access services.	Aug 2022	Recruitment of the Psychologist continues to delay the Complex Care Team start.						
15. Review of Housing Allocations Policy to identify opportunities to prioritise homeless prevention	Nov 2022	Work to update the policy continues with consultation from across all departments.						
16. Management of Mandatory and Additional HMO Licensing to improve the quality of HMO accommodation in the private sector, reducing the likelihood of approaches from households living in HMOs where the presence of severe HHSRS hazards would result the property being unreasonable for the household to continue to occupy, and increasing the levels of safe and suitable PRS stock for use in the prevention and relief of homelessness	Ongoing	PRS team continue to check properties in line with timescales set out in individual HMO licences. Also carry out action days in areas highlighted by intelligence received. Finding of Hazards on track for this year.						
17. Expansion (5 -10 units) of Thurrock's Housing First project to include those with enduring mental Health challenges in addition to homeless individuals with a history of entrenched or repeat homelessness	TBC - subject to business Case approval	Delays to presentation at DMT then questions around funding delayed again. This a priority for Housing Solutions who are contributing £48k. This must not be delayed further. Delays in recruitment.						
18. Provision of specialised accommodation for those who've had repeated unsuccessful placements.	TBC- subject to business case	Delayed (potentially long term) as Oak House deemed unsuitable and further properties purchased against borrowing would not be financially viable.						
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2023	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12
Revised Residual Risk Rating	Date:	03/01/2023	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description	Risk Owner
<p>The cost of living continues to be a major concern for many of our tenants. Rising prices of food, fuel and transport along with increasing interest rates and rents are forcing people to make hard choices about how they spend their money. The least well off are the worst affected and rent revenue from social housing tenants is likely to be impacted. Residents in fuel poverty are more likely to experience serious adverse health events leading to increased hospital admissions and demand on adult social care services.</p> <p>There are an estimated 9,103 households in fuel poverty in Thurrock, a number expected to rise to in excess of 13,000 given home energy price inflation. Increases of 54% (average £700pa) were imposed in April 2022 and a scheduled rise of a further 80% (average £1600pa) were scheduled for October 2022. The government announced an average use cap (the Energy Price Guarantee EPG) of £2500 and the Household Energy Support Scheme to mitigate increases. The EPG is to be continued from April 2023 but increased to £3,000pa. This will last until April 2024. The typical household energy bill rose from circa £1280 to circa £3200 this year with the threat of this rising further in 2023.</p> <p>Failure to act: Failure to support our residents who are impacted by rising costs and interest rates will result in:</p> <ul style="list-style-type: none"> • Financial hardship for our residents including some of our most vulnerable residents • Consequent impact on demand for core council services • Direct and indirect impact on council staffing resources • Direct impact on rent income stream to the Housing Revenue Account and Council Tax • Increased demand on ASC external placement budgets • An increase in evictions/homelessness, leading to increased demand on homelessness budgets 	<p>Peter Doherty</p>

Link to Corporate Priority

People – a borough where people of all ages are proud to work and play, live, and stay. This means:

- build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing
- communities are empowered to make choices and be safer and stronger together

Inherent Risk Rating	Date:	01/07/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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DASHBOARD

Inherent Risk Rating & Date: 01/07/2022	Residual Risk Rating as at: 01/07/2022	Residual Risk Rating as at: 01/10/2022	Residual Risk Rating as at: 16/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

Comments

The Authority's ability to successfully manage the effects of the cost of living increases locally continues to be re-evaluated and overseen by groups such as the corporate fuel poverty task and finish group. With the assistance of the CPI and using a HLS based approach, targeted cohorts of those most vulnerable will be identified and work will begin on assisting those in need. The mechanisms and processes are in discussion phase at present and are being discussed at the Steering Group meetings. Overall, the ability of service users to deal with this issue is a challenge and it is noted that council workers increasingly have to provide higher levels of support to a wide range of claimants and people affected.

We are taking a wide range of actions to mitigate the risk as noted in the management action plan for the risk. We continue to work with Sanctuary Housing to provide appropriate support to tenants who may be experiencing hardship. Financial Inclusion Officers are tasked with dealing with all new claims to Universal Credit and complex or amended circumstance cases.

Increased focus on income maximisation, benefit claims including those with the potential for premium add-ons to existing benefits, missing cost of living payments. In house financial assistance through Discretionary Housing Payment (DHP), Local Council Tax Support (LCTS) and Council Tax Hardship Fund.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Welfare reform group established and meeting quarterly	Ongoing Group has not sat future under review
2. Fuel Poverty Scoping Group initiated	Ongoing
3. Financial Inclusion Officer intervention – increased case referral and events in place	Ongoing
4. Signposting of funding streams for residents - Identification and accessing of appropriate support and discounts: - Discretionary Housing Payment where appropriate and permitted – fund reduced by over 30% to £366,304.00 - Foodbank/ voucher availability and issue - Household Support Fund/ELF for Fuel Grants - Warm Homes Discount - Government support package	Ongoing
5. Staff continuously updated on new measures and support available	Ongoing
6. Referrals to specialist support agencies eg Sanctuary, CAB, Debt Management Services, Turn2Us	Ongoing
7. Continued closer working with DWP and Universal Credit Management Teams	Ongoing
8. Housing Services: (i) Ensure the Rents team are updated with all changes to legislation regarding support packages announced by central government (ii) Provide benefits, debt and money advice to council tenants, Examples include: visits to residents at home and at outreach centres where needed. Partnership with Sanctuary established to provide debt and financial advice and other support services to residents. (iii) Undertake monitoring and management of potential increased rent arrears/evictions: - Rents and Welfare team monitoring the level of rent arrears and endeavour to make contact with those affected and provide advice and assistance in order to assist in sustaining their tenancies. - Financial inclusion officers working with tenants affected by changes, maximizing income and reducing expenditure and Sanctuary to provide financial advice and other ongoing supporting services to residents.	Ongoing
9. The Rents team will continue to make contact with residents by visit, telephone, e-mail and text message and offer support where needed.	Ongoing
10. Continued use of Mobyssoft text messaging service as a further means of managing our contact with tenants in arrears and the implementation of the automation process to ensure early intervention and provide an extra means of communication.	Ongoing

11. Extended Communications methods including more focus on delivering key messages via resident newsletter and Social Media platforms.								Ongoing
12. The Council's bid to the UK Shared Prosperity Fund includes funding to tackle this through additional capacity in relation to supporting financial inclusion, health and wellbeing and energy efficiency improvements. This fits under the UKSPF E13: Community measures to reduce the cost of living category.								Ongoing
Residual Risk Rating	Date:	01/07/2022	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
13. Ongoing monitoring of points 1 – 12 above through report led data.	From July 2022	<p>1. This group was established following the Localism Act 2012 to focus on mitigating the impact of the various welfare reforms. It has not sat for a while and it's future is being discussed given all the reforms have now been implemented and the residual risk is being managed elsewhere (See Corporate Risk No.5 / Welfare Reform for details).</p> <p>2. Renamed the Fuel Poverty Steering Group – this is being supported by three groups including data and operations – which are focusing on the interventions for approx. 10 cohorts (covering approx. 3500 households) identified through Public Health data who are at risk of adverse health outcomes as a result of fuel poverty .</p> <p>3. The current FIOs are working at capacity – cross reference action 12. and the successful funding application for an additional resource 4-8 & 10-11. Ongoing/monitoring</p> <p>9. Text campaign separate to Talk about Rents scheduled.</p> <p>12. Agreed and recruitment process is ongoing – funding is for 2 years. The staff member will set within Well Homes/Private Housing.</p>						
14. Extended Communications methods including more focus on delivering key messages via resident newsletter and Social Media platforms.		Being overseen by the Fuel Poverty Steering and Operations' Groups						
15. The Council's bid to the UK Shared Prosperity Fund includes funding to tackle this through additional capacity in relation to supporting financial inclusion, health and wellbeing and energy efficiency improvements. This fits under the UKSPF E13: Community measures to reduce the cost of living category.		Funding secured in December 2022 – new Financial Inclusion Officer to sit within the private rented sector team						
Forecast Risk Rating	Forecast Date:	31/03/2023	Impact:	Critical (4) Substantial (3)	Likelihood:	Unlikely (2) Very Likely (4)	Rating:	8 12
Revised Residual Risk Rating	Date:	16/01/2023	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
<p>On 12 April 2017, the government announced its preferred route for a new Lower Thames Crossing between Thurrock and Kent. The preferred route was:</p> <ul style="list-style-type: none"> • a bored tunnel crossing under the River Thames east of Gravesend and Tilbury – Location C • a new road north of the river which will join the M25 between junctions 29 and 30 – Route 3 • a new road south of the river which will join the A2 east of Gravesend – Western Southern Link <p>The position of Thurrock Council is that it is opposed to any new river crossing in Thurrock. Notwithstanding this opposition, the Council recognises that should this scheme go ahead there should be the highest possible levels of mitigation and benefit to the residents of Thurrock. There is a risk that Thurrock’s interests are not fully considered by the process, resulting in poor outcomes for the community and businesses in the borough.</p>								Colin Black	
Link to Corporate Priority									
Place – A heritage-rich borough which is ambitious for its future. Roads, houses and public spaces that connect people and places									
Prosperity – A borough which enables everyone to achieve their aspirations. Attractive opportunities for businesses and investors to enhance the local economy									
Inherent Risk Rating		Date:	08/07/2022	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 08/07/2022	Residual Risk Rating as at: 08/07/2022	Residual Risk Rating as at: 01/10/2022	Residual Risk Rating as at: 03/01/2023	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2023

Comments
<p>As this is Highways England’s scheme and the Council is a statutory consultee, management of this risk is reactive to the plans and proposals brought forward by Highways England as well as the timescales laid out in legislation covering the Development Consent Order (DCO) process.</p> <p>Responding to these plans and proposals impacts of every service area within the Council and will rely heavily on their time at different points in the Development Consent Order (DCO) process.</p> <p>This scheme will impact the health and wellbeing of residents affected by the construction of the crossing as well as the traffic once the crossing is constructed. The uncertainty around LTC has impacted the statutory local plan process which may not be resolved until the DCO is determined.</p>

The work of the Task Force has involved holding public meetings with National Highways (NH) on themed issues, such as areas of influence, visual impact and health impact. The scheme was at statutory consultation stage until 20 December 2018. The Council submitted its formal consultation response after the extraordinary Council meeting in December. Since March 2019 NH has been reviewing consultation responses and therefore progress has been very slow. Further consultation took place between January 2020 to March 2020 and July 2020 to August 2020. The latest consultation took place April 2021 to June 2022. The DCO was submitted in October 2020 and withdrawn in November 2020 due to adequacies of consultation and technical issues. NH has received a copy of the Hatch report commissioned by TC that sets out 58 measures that require focus and mitigation. Some progress has been made on 16 of these measures through a continuous programme of technical reports and meetings that remain on going and NH has amended its proposals, adding further mitigation as part of the process. Some significant issues remain of contention.

Thurrock is the local authority area most affected by LTC and it continues to seek adequate resolution of serious issues that are likely to impact on liveability, health and economic prosperity. To continue its work to resolve significant issues now LTC has been submitted through to DCO Examination, significant resource will need to be maintained. There is broad acceptance of the key challenges faced by Thurrock, but senior discussions with DfT and NH have not yet been able to identify an adequate alternative pathway to the DCO. NH has now submitted its DCO submission for LTC which has been accepted by the Planning Inspectorate (PINS). It will now be necessary to deal with a raft of serious issues (which remain extensive) at Examination. Both local MPs have written to the SoS for Transport to express the seriousness of their concern. The budget and resource requirements of upholding the Council position are significant but decisions have been stalled and are critical to resolve to avoid losing the support of a highly experienced team. Resolving matters prior to any potential scheme approval is critical as the failure to do so is likely to create a raft of legacy issues that will be more complicated, resource intensive and difficult to resolve in future. The increased likelihood of significant risk flagged at the last review has not yet led to the resolution of budget issues raised.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Full Council agreed the establishment of the Lower Thames Crossing Task Force consisting of Members & representatives from businesses and residents.	July 2017 Nov 2017
2. Responded to the Highways England Environmental Impact Assessment Scoping Report, including calling for a standalone Health Impact Assessment (which Highways England have now agreed to)	January 2018
3. Additional one-off budget of £380,000 agreed by Cabinet	April 2018
4. Appointment of Peter Brett Associates (now Stantec) to provide tailored specialist support to officers	May 2018
5. Appointment of permanent Assistant Director for Lower Thames Crossing	June 2018
6. Agreed 'Schedule of Mitigation' derived from the priorities identified by the Lower Thames Crossing Task Force	Jul 2018
7. Training with Task Force Members on the DCO process	From Jul 2018
8. Review Council's project management programme in line with expected statutory response dates	Summer 2018
9. Council's response to Highways England Statement of Community Consultation v1	Oct - Dec 2018
10. Communications team have worked to raise the profile of the consultation to encourage local residents to have their say	Dec 2019
11. Respond to Highways England Statutory Consultation	From Jan 2019
12. Making preparations for the next stage of the DCO process by preparing the adequacy of consultation response and the local impact report	From Feb 2020
13. Production of an economic impact report (initial and second phase) in order to understand the true cost to Thurrock	Apr 2020
14. Technical workshops between officers and Highways England	Jan 2021
15. Publication of report on economic impact from Hatch to set out the mitigation list requested	Sept 2021
16. Technical workshops between officers and Highways England	

17. Established Senior Forum with HE and TC senior officers /consultants meeting weekly to unlock challenging issues	July 2021			
18. Council's response to Highways England Statement of Community Consultation v2	July-Sept 2021			
19. Continued engagement with Stakeholders including Freeports, Local Plan, PINS, DfT, MHCLG	Apr 2021			
20. LTC Task Force Update report presented to Cabinet Nov	Nov 2021			
21. Collaboration with ASELA and Transport East to coordinate	From Dec 2021			
22. Escalated concerns on LTC scheme inadequacy to DfT	From Dec 2021			
23. Escalated concerns on LTC scheme inadequacy to Treasury	Ongoing			
24. Council's response to National Highways Local Refinements Consultation	June 2022			
Residual Risk Rating	Date: 08/07/2022	Impact: Substantial (3)	Likelihood: Likely (4)	Rating: 12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress			
25. Ongoing application of actions 11-24 above as appropriate	From Jul 2022	Ongoing – See Comments table			
25. Raised a complaint about NH withholding business case information with the Information Commissioner who found in favour of the Council	Oct 2022	Completed			
26. Council's Adequacy of Consultation (AoC) response	Nov 2022	Submitted			
27. Preparation of SoC, prior to exam – Spring/Summer 2023	Spring/Summer 2023)	Ongoing			
28. Preparation of LIR	By end Jan 23	Ongoing			
29. Delivery of Comms to simplify and explain key issues locally	During 2023	Ongoing			
30. Political party briefings on key concerns	Jan - Feb 2023				
Forecast Risk Rating	Forecast Date: 31/03/2023	Refresh	Impact: Substantial (3)	Likelihood: Very Likely (4)	Rating: 12
Revised Residual Risk Rating	Date: 03/01/2023		Impact: Substantial (3)	Likelihood: Very Likely (4)	Rating: 12

Opportunities In Focus

UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description							Opportunity Owner		
Promote the borough’s assets and opportunities and secure investment in growth through SELEP, Thames Freeport and other Government funding sources like the UKSPF to maximise the opportunity for local residents and business to contribute to and benefit from the growth programme. This includes maximising opportunities created by the following: <ul style="list-style-type: none"> • impact of strategic interventions, e.g., Freeports • third party funding opportunities, e.g , Arts Council Cultural Development Fund • promotion of Thurrock’s economic assets and opportunities to attract investment e.g., High House Production Park 							Gerard McCleave		
Link to Corporate Priority									
Prosperity – A borough which enables everyone to achieve their aspirations. Attractive opportunities for businesses and investors to enhance the local economy.									
Inherent Opportunity Rating		Date:	01/07/2022	Impact:	Exceptional (4)	Likelihood:	Very Unlikely (1)	Rating:	4

DASHBOARD

Inherent Opp. Rating & Date: 01/07/2022	Residual Opp. Rating as at: 01/07/2022	Residual Opp. Rating as at: 07/10/2022	Residual Opp. Rating as at: 03/01/2023	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 31/03/2023																																																																																																
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Comments
<p>The Council has successfully secured significant amounts of Local Growth Fund, Getting Building Fund and other funds such as a £1.2m allocated under the UK Shared Prosperity Fund (Core) and £1.1m under the UKSPF (Multiply – Skills) to directly deliver projects and programmes that benefit local residents and businesses directly or through investment infrastructure and programmes. The results of the Towns Fund applications submitted in early 2021 have been announced and have secured, in principle, around £40m investment in Thurrock subject to business cases and due diligence. The Government has designated Thames Freeport. A formal decision from Government on Thames Freeport Business Case is expected in January 2023 The Freeport presents an opportunity to support projects through retained business rates to further invest in growth opportunities and support local communities in Thurrock, aligned to wider Thames Freeport objectives – levelling up and skills; innovation and net zero; and trade and investment.</p>

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place								Date Implemented
1. Monitoring of Community Renewal Fund underway 2. Horizon scanning for investment opportunities underway 3. Towns Fund bids - funding announced, projects being scoped and business cases underway 4. Freeport - full business case submitted 5. UKSPF investment plan developed in line with Government Guidance and submitted to DLUHC for consideration								Ongoing Ongoing July 2021 April 2022 Aug - Dec 2022
Residual Opportunity Rating	Date:	01/07/2022	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16

FURTHER ACTION / FORECAST OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action	Implementation Date	Progress						
6. Ongoing application of actions 1 - 5 as appropriate 7. Ideas generation and business case development for projects / programmes support by Thames Freeport 8. Implementation of CRF projects 9. 'Green Economic Growth' action plan being developed	From July 2022	1. Monitoring of Community Renewal Fund (CRF) underway 2. Ongoing 3. Towns Fund bids - funding announced, projects being scoped and business cases underway 4. Thames Freeport – Final business case addendum submitted in Dec 2022. 5. UKSPF investment plan developed in line with Government Guidance and approved by DLUHC in December 2022. 7. Skills plan development underway. 8. Welcome Back fund are both underway 9. Consultants appointed and work commenced in December 2022						
Forecast Opportunity Rating	Forecast Date:	31/03/2023	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16
Revised Residual Opportunity Rating	Date:	03/01/2023	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16

UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description								Opportunity Owner	
Delivering Backing Thurrock – Economic Development Strategy and Action Plan to maximise opportunities to deliver the Thurrock Growth Programme by acting as an agent of change and a leader of place shaping, collaborating with partners to reshape our local economy, address the challenges we face and realise the fantastic growth potential we have in the borough.								Gerard McCleave	
Link to Corporate Priority									
Prosperity – A borough which enables everyone to achieve their aspirations. Attractive opportunities for businesses and investors to enhance the local economy									
Inherent Opportunity Rating		Date:	01/07/2022	Impact:	Exceptional (4)	Likelihood:	Very Unlikely (1)	Rating:	4

DASHBOARD

Inherent Opp. Rating & Date: 01/07/2022	Residual Opp. Rating as at: 01/07/2022	Residual Opp. Rating as at: 07/10/2022	Residual Opp. Rating as at: 03/01/2023	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 31/03/2023																																																																																																																																																
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Comments
<p>Backing Thurrock strategy and action plan adopted by Cabinet March 2021. The Action Plan includes a series of projects and initiatives that together seek to maximise the benefits to the local economy from growth in the borough. The Governance and monitoring arrangements for the strategy are in place. Successes to date include delivery of COVID grants programme (£35m implemented); secured and implemented Welcome Back Fund and Community Renewal Fund projects and programmes; delivered Thurrock Enterprise Week; implementation of LoCASE and CLLD programmes; securing cultural development funding for Thameside Theatre and HHPP; and delivered Thames Freeport bid and business cases to support economic growth and regeneration / levelling up across Thurrock.</p> <p>Available resource is being targeted at the most important priorities and projects in the programme highlighted in the action plan.</p> <p>Good progress continues to be made but capacity issues mean that most important actions are being prioritised. Progress against key actions in line with the programme plan/management action plan for the opportunity. Forecast rating 12 to reflect delivery in year.</p>

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place								Date Implemented
1. Backing Thurrock Strategy adopted by Cabinet 2. Governance arrangements established: Backing Thurrock Implementation Group and Programme Management regime 3. Implementation underway – Actions being implemented								March 2021 Ongoing Ongoing
Residual Opportunity Rating	Date:	01/07/2022	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action		Implementation Date	Progress					
4. Embedding governance and implementing monitoring arrangements		Ongoing July / Aug 2022	Governance and monitoring arrangements in place					
5. Delivering against priorities identified in the action plan, including:		August 2022	OBC submitted and approved. FBC submitted. Final FBC Addendum submitted to government in December 2022.					
- Developing Freeport FBC - Development of skills action plan - Developing a new Cultural Strategy for Thurrock, co-design and co-produced to maximise for residents and businesses the opportunities from cultural regeneration. - Development of ongoing sustainability funding - Facilitating delivery of Government funded Community Renewal Fund (CRF)		Sept 2022	Skills action plan development underway. Anchors framework drafted for wider comments. Dec 2022					
		Ongoing	UK Shared Prosperity Fund (UKSPF) approved CRF delivery underway.					
Forecast Opportunity Rating	Forecast Date:	31/03/2023	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Opportunity Rating	Date:	03/01/2023	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12