

Risks and Opportunities in Focus

The items are separated between risk and opportunity and listed in priority (rating) order and then numeric order.

Risks In Focus

Corporate Risk 8 - Transformation Programme

Description				Lead Officer	Date Identified	Target End Date	
Failing to Deliver the Transformation Programme: The Transformation Programme does not make its savings target as defined by the 2013/14 Budget (£4.35million £3.1M) and the MTFS. This leads to savings having to be made by other means, including service cuts and/or savings from contingencies/reserves, which would potentially be fairly late in the planning cycle. This could lead to service disruption and further pressures on the organisation's capacity to deliver the necessary changes in time.				Jackie Hinchliffe	15/01/13	31/03/14	
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	90	100				RED
Impact	Critical	Critical	Critical				
Likelihood	Very High	High	Very High				
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions			Residual Rating 31/03/13
<p>1. Opportunities to deliver 2013/14 Transformation savings have been identified and agreed through Cabinet and O&S process in October / November 2012.</p> <p>2. 5 Programme themes identified. Each theme managed under the stewardship of a Programme Manager tasked with accountability to ensure programme and associated projects realise efficiencies.</p> <p>3. Business cases to realise 2013-14 savings are under development and will be considered in February 2013 for go decisions.</p> <p>4. Resources requirements and capacity to deliver identified and built into overall business cases and programme management.</p>				<p>1. Overview and oversight of business case development through Programme Manager and PMO function</p> <p>2. Overview and oversight of programme objectives and deliverables through Transformation Board</p> <p>3. Monthly budgetary reports to Cabinet reporting on Transformation Savings realization.</p>			90
Further Controls or Action				Assurance on Controls or Actions			Target R/O Rating
5. Following agreement of business cases in Feb 2013 the Transformation Board (comprising of Cabinet Member and Directors) to monitor progress against the business cases, programme and savings.				5. Monthly monitoring of business cases, programme and savings			60
Quarter 1 Review - Progress/ Developments Against Controls or Actions						Residual Rating Q1 30/06/13	
<p>2&5. Governance arrangements now in place with Director lead for each theme.</p> <p>3&4. Business case for Thurrock Online programme agreed and resources in place. IT and Civic Offices Business cases to be presented to Transformation Board in May.</p> <p>3,4&5. Full assessment of costs (capital & revenue) and benefits/savings against those predicted being undertaken.</p> <p>4. Additional resources/capacity to support change management being procured.</p> <p>The evaluation of risk accounts for the potential impact of the timescales for the delivery of the transformation programmes. Full governance arrangements are now established and the boards are accountable for the allocation and delivery of the savings, with escalation to the Transformation Board if required.</p>						100	

Corporate Risk 4 - ICT Infrastructure

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

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

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

Quarter 1 Review - Progress/ Developments Against Controls or Actions	Residual Rating Q1 30/06/13
<ol style="list-style-type: none"> 1. Ongoing 2. Ongoing 3. Ongoing 4. Ongoing 5. Ongoing 6. Reviews in progress – no identified risks 7. Regional group now disbanded fair price question will now be decided locally 8. New QA framework being implemented across the region which will enhance contract compliance assurance 9. Ongoing 10. Ongoing 11. Market position statement delayed-now being drafted-no enhanced risk identified 12. No uplift for 13/14 –This is a negotiated agreement and therefore no increased risk identified 13. Ongoing 14. Ongoing 15. Ongoing 16. Now in place 17. Numbers of trained staff increased-appropriate cover now in place 18. Service Expansion agreed 13/14 19. New domiciliary care contract now in operation – reduced need for spot purchase <p>The risk evaluates the impact of a combination of issues on the maintenance of care quality standards. The risk remains at the higher level due to the continued economic pressure on care providers, decreasing number of carers within the system due to ongoing poor employment conditions, acute and primary health pressures and increasing complexity (i.e. all the factors facing the sector). With the management response arrangements in place the Council can consider to slightly downgrade the risk next quarter. However it is recognised that this is a highly volatile sector and outside of a national settlement it is difficult for a single local authority to do much more to mitigate the immediate concerns.</p>	90

Corporate Risk 11 - Business Continuity

Description					Lead Officer	Date Identified	Target End Date
Failure to maintain the co-ordination of Business Continuity Planning across the Council would lead to the business continuity management arrangements across the Council becoming outdated and ineffective in times of a disruption effecting Thurrock.					Gavin Dennett	23/01/13	31/12/13
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	90	90				RED
Impact	Critical	Critical	Critical				
Likelihood	Very High	High	High				
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action					Assurance on Controls or Actions	Residual Rating 31/03/13	
<p>1. A corporate Business Continuity (BC) Plan and service specific plans established – by October 2011.</p> <p>2. Arrangements for coordinating business continuity across the Council reviewed following the departure of the Business Continuity Officer in Nov 2011. Roles within the Emergency Planning (EP) Team reviewed and redesigned and an officer identified to take forward business continuity work – Dec 2011 to Jan 2013.</p> <p>3. Ongoing review of Business Continuity arrangements for services – All Heads of Service reminded Jan 2012 to review/update business continuity plans. The EP team has worked with services to review plans and approximately 97% updated – June 2012 to Jan 2013.</p>						90	
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions	Target R/O Rating	
<p>4. Development and implementation of arrangements to review the validity of service continuity arrangements. Directorates to review the validity of service BC plans by March 2013.</p> <p>5. Development and implementation of testing programme to test directorate/department BC arrangements – by Sept 2013</p> <p>6. Review of Corporate BC planning arrangements – from March 2013</p> <p>7. Development of EP Service Plan 2013/14-16 – by end of March 2013.</p> <p>8. Regular review of Emergency Planning/Business Continuity service, team and staff arrangements - June 2013</p>						60	
Quarter 1 Review - Progress/ Developments Against Controls or Actions							Residual Rating Q1 30/06/13
<p>1&6. Cabinet Report on Corporate Business Continuity Plan to be referred to Standards and Audit Committee for recommendations</p> <p>2. Officer identified, attending BC Approved Course July 2013.</p> <p>3&4. Memos drafted and sent to Directors by end of May 2013 to approve current versions of Service BC plans (to cover any changes from recent/planned restructures to Directorates).Service BC Plans signed off by Directors</p> <p>5. Ongoing - Draft programme of testing with first test taking place September 2013, after which Business Continuity Management Group to be re-established and programme of education to different service areas on BC testing their own service plans from November 2013. To be taken forward by returning member of staff from 10/06/13.</p> <p>7. Completed</p> <p>8. Ongoing</p> <p>The Council has made some progress with the development of Service and Corporate BC plans but the risk will remain at the higher level until the test programme is implemented and the results evaluated.</p>							90

Corporate Risk 13b - Purfleet Regeneration Project

Description					Lead Officer	Date Identified	Target End Date
Complex and costly land acquisition including potential use of CPO powers, identifying and agreeing the appointment of a development partner, securing and implementing planning permission are all fundamental to the success of the project.					Matthew Essex	18/01/13	30/06/14
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	90	90				RED
Impact	Critical	Critical	Critical				
Likelihood	Very High	High	High				
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action					Assurance on Controls or Actions		Residual Rating 31/03/13
<p>1. Land Assembly – Approx 55% of the required land acquired and is managed by the assets team. Cabinet Nov 2011 agreed a first resolution to commence compulsory purchase order (CPO) process for the remaining site. Negotiations with remaining owners continue and managed by CBRE (property & real estate adviser). CBRE available to advise on CPO strategy, negotiations and valuations as required.</p> <p>2. Procurement of development partner – Cabinet consent to re-procure using competitive dialogue process agreed June 2012. OJEU process ongoing with shortlisted parties from June 2012</p>					<p>1&2. CEDU managing project and reports regularly to the Assistant Chief Executive and Portfolio Holder.</p> <p>2. Officer Programme Board overseeing procurement process with oversight from Cabinet Portfolio Holder.</p>		90
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions		Target R/O Rating
<p>3. Complete Land Assembly – Cabinet to consider and agree a second resolution if the council is to CPO the land not acquired through negotiation – by June 2013. Process will require funding for land acquisition, compensation and fees.</p> <p>4. Outline Planning Application – Outline planning application considered by Planning Committee Dec 2012. S106 agreement to be completed in due course.</p> <p>5. Determine Primary School funding – Agreed by Cabinet Dec 2011 to build a provision in the MTFS to fund a new school in Purfleet to support the project.</p> <p>6. Project implementation. This will be phased and follow confirmation of a CPO. Site clearance/demolition is presently programmed to begin Q2 2014.</p>					<p>3-6. CEDU managing project and reports regularly to the Assistant Chief Executive and Portfolio Holder.</p>		60
Quarter 1 Review - Progress/ Developments Against Controls or Actions							Residual Rating Q1 30/06/13
<p>1&3 Land Assembly – negotiations to acquire additional land holdings are ongoing and the completion date revised to September 2013. This is significant as it will assist in the progression of the Project although the ability to acquire sites is dictated by the availability of funds.</p> <p>2 OJEU process continues with shortlisted parties. Negotiations will continue with these parties until an agreement is reached, anticipated date for this is Q3/2013. Purfleet Centre Programme Board and the Assistant CEO have responsibility for overview and scrutiny of the project. Site clearance/demolition is presently programmed to begin Q3 2014</p> <p>The project remains on timetable but a number of key milestones approach within the next quarter. Any programme slippage will impact the start of construction work and consequently delay delivery of outputs/outcomes. The recent completion of the outline planning process will provide momentum for completion of the key actions outlined</p>							90

Corporate Risk 31 - Children's Social Care

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

<p>follows informal communication in which some local organisations had expressed a commitment to be more active in this area of work. A date of 22 February 2013 has been planned for an initial meeting.</p> <p>(iv) Review of all cases for children aged 14+ - The head of service has chaired a panel to review the cases of a sample of looked after children aged 14+, to explore whether there are young people who could safely be returned to the care of their families. This reviewing exercise has been completed and to date (Jan 2013) has confirmed that, with the exception of 1 or 2 cases, where a return to home was already planned, the existing arrangements in terms of placement and care needs are appropriate. Positively, this additional scrutiny has validated existing processes rather than identified any failing.</p> <p>(v) Late entrants to care – explore what more could be done for Looked After Children (LAC) and CP to anticipate and prevent late care entry. The focus will be all cases of YP who are vulnerable to losing places in homeless accommodation, or who are known to be a serious risk of exclusion from home by their parents – this work is in progress as at Jan 2013 with the first phase focusing on the most recent 20 children aged 14+ being scrutinised by senior management team</p>		
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Quarter 1 Review - Progress/ Developments Against Controls or Actions	Residual Rating Q1 30/06/13
<p>1. Implemented. Structures continually kept under review to maintain efficiency</p> <p>2. Implemented</p> <p>3. Implemented. Staffing levels continually kept under review to ensure levels maintained within acceptable thresholds</p> <p>4. Ongoing. Early Offer of Help contracts now in place and services commissioned. Includes Troubled Families initiative targeted at families/households at risk</p> <p>5. Activity ongoing</p> <p>6. Ongoing as per 4 above</p> <p>7. Implemented</p> <p>8(i) Ongoing</p> <p>8(ii) Ongoing</p> <p>8(iii) Ongoing – further arrangements are to be explored through the year</p> <p>8(iv) Implemented. Further audit activity and scrutiny to be applied on risk basis and from review of performance/cost data through the year</p> <p>8(v) Ongoing</p> <p>New additional controls include:</p> <p>9. All admissions of teenagers into the care system to be agreed in advance at the placement panel – April 13. Any admissions out of panel to be agreed by Head of Service</p> <p>10. Placement Review – an external review of high cost placements to be commissioned / undertaken in the year</p> <p>11. Social Work Advisor (Use of Resources) – in post</p> <p>12. Review of open cases to establish proportion of recent migration into Thurrock of families / children and subsequent entry in care system and demands on service. In addition to monitoring of transfer-in cases.</p> <p>The risk evaluates the impact of increased demand and resource pressures on children’s social care and quality of service and provision. The risk remains at the higher level due a range of ongoing factors (i.e. (increased complexity and volumes, ongoing activity to review high cost placements). With the management response arrangements in place the council continues to monitor the impact and consider the potential to slightly downgrade the risk next quarter. However, it remains the case that increasing incidences of larger families / sibling groups entering into Thurrock and the care system continue to place demands on the service.</p>	90

Corporate Risk 20 - Welfare Reform

Description					Lead Officer	Date Identified	Target End Date
<p>The Welfare Reform Act 2012 and the Local Government Finance Act 2012 have received Royal Assent and the aim of both acts is to introduce major changes to the welfare scheme, to reduce the UK's welfare benefit costs by £18 billion over the next five years and promote work as more beneficial than claiming benefit. Embedded in the Acts are a range of measures designed to simplify, streamline and reform the payment of out of work, income, housing and disability related benefits; re-assess the fitness or otherwise of claimants to work; and provide employment related support.</p> <p>Both Acts have introduced significant reforms to the current system that have a direct impact on Council services:</p> <ul style="list-style-type: none"> The replacement of Council Tax Benefit with Localised Council Tax Support wef April 2013 The introduction of a size criteria and limitation of Housing Benefit within the social rented sector wef April 2013 The limitation of total benefits through an overall household cap (date to be announced) The reform of the Disability Living Allowance and its replacement with Personal Independence Plans wef October 2013 The replacement of all working age benefits (Income Support, income-related Employment & Support Allowance, income-based Jobseeker's Allowance, Housing Benefit, Child Tax Credits and Working Tax Credit) with a single unified benefit known as Universal Credit (to be completely in place by 2020) <p>In addition, the Welfare Reform Act 2012 abolishes the existing discretionary Social Fund, which is currently administered by the Department of Works and Pensions (DWP) and replaces part of the fund (Crisis Loans and Community Care Grants) with new locally based provision. From April 2013 funding for the Social Fund will be devolved to Local Authorities in England.</p> <p>The reforms could result in fewer people in receipt of benefits who may then look to the Council to provide them with a service – e.g. housing, homelessness, adult social care.</p>					Martin Hone	25/01/13	31/03/14
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	90	64	80				RED
Impact	Critical	Substantial	Critical				
Likelihood	High	Significant	Significant				
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions			Residual Rating 31/03/13
<p>1. Thurrock's Local Council Tax Support Scheme was approved by Council in December 2012. All affected households have been contacted. The Council's Fair Debt Policy was reviewed in November 2012 by a Task & Finish Group to ensure that it addressed specific issues arising from the new Scheme.</p> <p>2. The impact of size criteria and Housing Benefit limitation on tenants was reported to cabinet in December 2012 and all affected households have been contacted.</p> <p>3. The Council is in the process of agreeing a Service Level Agreement with Southend Council to provide the local Social Fund. The Council is working to make sure the new arrangements will be compliant with the new Social Security (Information-sharing in relation to Welfare Services etc) Regulations 2012.</p> <p>4. The Council is in the process of recruiting a Welfare Benefits project coordinator on a fixed term contract to March 2014.</p>				<p>1-4. The implications of Welfare Reform as they impact on the Council, local residents and service users, are assessed by the Welfare Reform Group, which is chaired by the Director of Finance & Corporate Governance. Each Directorate is represented on the Group to ensure a co-ordinated approach.</p> <p>DB receives updates on progress against agreed actions.</p> <p>Cabinet/Council agree specific Welfare Reform issues (e.g., LCTSS, under-occupancy) and will receive a comprehensive update at the March 2013 Cabinet/Council just prior to the 'go-live' of LCTSS, under-occupancy limitations and the introduction of the new Social Fund.</p>			64
Target Risk / Opportunity							
Further Controls or Action					Assurance on Controls or Actions		Target R/O Rating
<p>5. In addition to the risks identified, the Council needs to be able to respond to the following associated issues, which are managed by the Department of Work and Pensions and the MTFs includes an additional £1.8M uplift to the budget in each of the next three years to address potential issues arising :</p> <ul style="list-style-type: none"> The limitation of increases in local housing allowance to 1% from 2014/15 onwards The limitation of benefits uprating to 1% from April 2013 The plan to include all housing costs for pension age claimants with pension credit from April 2015 The continued transition of Incapacity Benefit claimants to Employment and Support Allowance <p>6. Welfare Reform Group to meet monthly to monitor and review the impact of the reforms on Council services (e.g. homelessness, housing advice, schools, debt advice, adult social care, health and well-being) and to broaden their remit to deal with:</p> <ul style="list-style-type: none"> Residents' income and ability to pay Demographics and migrations as a consequence of Welfare Reform Impact on services (in particular homelessness, housing advice, schools, debt advice, adult social care, health and well-being) 					5-6. WRG to provide regular reports to DB		64

Quarter 1 Review - Progress/ Developments Against Controls or Actions	Residual Rating Q1 30/06/13
<p>1-5. LCTSS, the Essential Living Fund (hosted by Southend Borough Council) and the HB limitation for Council tenants all went 'live' on 1 April 2013. The Dof&CG meets weekly with the Portfolio Holder for Central Services to review progress. Weekly stats on ELF uptake are provided by Southend Council. The debt recovery timetable for LCTSS debtors was delayed by one week at the request of the portfolio holder. The welfare Reform Group continues to meet monthly. Cllr B Rice is now in attendance to ensure political input to the administrative decision-making process.</p> <p>The evaluation of risk considers the potential impact on Council Services of the wider Welfare Reform changes being introduced over the next 6 months, although it is difficult to assess the true impact at this point in time.</p>	80

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

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

Quarter 1 Review - Progress/ Developments Against Controls or Actions	Residual Rating Q1 30/06/13
<p>3. Austerity measures re-confirmed for 13/14.</p> <p>2. Strategy Week (joint with London Borough Barking & Dagenham) has been agreed for first week June. This will form the basis for Star Chamber budget exercise during summer 2013.</p> <p>5. Further developments on business rates retention includes an analysis from LG Futures regarding the possibility of 'pooling' with LBBD, LB Havering, Brentwood DC. This will be examined further by DB over the next few weeks.</p> <p>6. At present the savings realized from the transformation programme are below the forecast in the MTFS. The Transformation Board will receive a report in June and agree actions to ensure the savings target for 2013/14 is achieved.</p> <p>7. The Council's property disposal group met in April and made recommendations to Cabinet for asset sales to support the capital programme.</p> <p>The risk rating of critical/significant remains in place because of (i) the shortfall of capital receipts to date against what is planned in the MTFS; and (ii) the under-delivery of transformation savings compared to forecast. Both these issues will be addressed by DB over the next month.</p>	80

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

Description				Lead Officer	Date Identified	Target End Date	
The Council does not fully deliver the MTFS - A balanced budget is not maintained and the Council has to rely on contributions from reserves in either 2015/16 or 2016/17 and/or savings are not delivered to meet forecasted budget deficits.				M.Hone	07/02/13	31/02/15	
Both/either of these scenarios could lead to service overspends and Council wide financial pressures which would require additional, unplanned efficiencies to be made with potential service delivery/cuts impacts							
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	100	80	80				RED
Impact	Critical	Critical	Critical				
Likelihood	Very High	Significant	Significant				
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions		Residual Rating 31/03/13	
<p>1. When preparing the MTFF for the planning period 2013/14 to 2016/17 a clear objective was set to divide the plan into two – to move away from setting a one-year balanced budget to balancing both 2013/14 and 2014/15 in time for the budget Council meeting (February 2013).</p> <p>This creates the solid financial foundation for the second part – to identify the future shape and delivery mechanisms of the Council.</p> <p>2. The two-year balanced budget (for 2013/14 – 2014/15) has been achieved and officers, through the Transformation Board are now working on the shape of the Council in the post 2015 period.</p>				<p>1. The assurances will be carried out as part of the annual budget review and refresh of the MTFS outlined in the Risk/Opportunity template for 'Delivery of MTFS 2013/14 – 2014/15'.</p>		80	
Target Risk / Opportunity							
Further Controls or Action				Assurance on Controls or Actions		Target R/O Rating	
<p>3. In addition, a review of the Council's current approach to service delivery will be held in March 2013, involving members, senior management and relevant stakeholders to begin to determine the future shape of the organization post 2015. Inevitably, this review will lead to a project and associated workstreams but at the time of writing these have yet to be determined.</p>						24	
Quarter 1 Review - Progress/ Developments Against Controls or Actions						Residual Rating Q1 30/06/13	
<p>3. Strategy Week (joint with London Borough Barking & Dagenham) has been agreed for first week June. This will form the basis for Star Chamber budget exercise during summer 2013. This will include a forecast of the Council's financial position post-April 2015</p> <p>The risk rating of critical/significant remains in place because of continuing uncertainties about public sector funding over the planning period. The Chancellor will be setting out his revised forecast to 2018 later this month, after which the implications for the Council's MTFS will be assessed.</p>						80	

Corporate Risk 1 - Capacity for Change

Description					Lead Officer	Date Identified	Target End Date
Capacity for Change - The Council has an ambitious change agenda, this is essential to deliver the required financial savings and to prepare the organisation for the future. If change is not managed well this can lead to low levels of engagement with staff, resulting in staff dissatisfaction, low morale, low productivity, high sickness levels (particularly stress related), employment relations issues and recruitment and retention difficulties.					Jackie Hinchliffe	23/01/13	31/03/14
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	80	72	80				RED
Impact	Substantial	Substantial	Substantial				
Likelihood	Very High	High	Very High				
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions			Residual Rating 31/03/13
<p>1. Sickness absence data, including stress related absence, reported to Performance Board monthly and escalated to DB/Cabinet as required. Absence is standing item on CHRECC.</p> <p>2. Monthly management information issued to Leadership Group and monitored at DMTs with SHRA. MI covers absence, turnover and employee relations issues.</p> <p>3. Fortnightly meetings with HR/OD, Serco HR and Trades unions to ensure full engagement and consultation.</p> <p>4. Learning & Development programme to support individuals and managers to cope with and manage change.</p> <p>5. Proactive communications and events to ensure staff and managers are aware of changes and have opportunity to engage and contribute.</p>				<p>1. Minutes of meetings and case management/monitoring.</p> <p>2. Minutes of meetings and case management/monitoring.</p> <p>3. Minutes of meeting.</p> <p>4. Course attendance monitored by Developing Together and via PDR.</p> <p>5. Monitoring of access to/reading of Insight and Thurrock Manager. Attendance at staff/managers conferences.</p>			72
Target Risk / Opportunity							
Further Controls or Action				Assurance on Controls or Actions			Target R/O Rating
<p>6. Development of a more sophisticated culture change programme to ensure softer elements of change are managed.</p> <p>7. Employee Engagement Strategy developed and implemented.</p> <p>8. Leadership Development to facilitate visioning and planning for 2015/16 and beyond.</p> <p>9. Workforce plans to be developed to define future workforce requirements and mitigate staff reductions.</p> <p>10. Staff Survey to be conducted.</p>				<p>6. Report to Transformation Board and programme agreed - March 2013</p>			48
Quarter 1 Review - Progress/ Developments Against Controls or Actions							Residual Rating Q1 30/06/13
<p>5. 'Thurrock Manager' highlighting importance of communicating and engaging staff and 'Insight' regularly featuring change updates.</p> <p>6. Additional, specialist change resource being commissioned to support Transformation Programme. Corporate Development Programme integrating training and development needs arising from Transformation Programme.</p> <p>8. Leadership visioning events held in April and May with outcomes and actions incorporated into 'Strategy Week' programme planned for June.</p> <p>9. Workforce Plan being developed and linked to future visioning.</p> <p>The current evaluation of risk takes into consideration the potential impact of increased sickness absence and the implementation of staff reductions. To mitigate impact, effective change management is a core component of the transformation programme and projects and an overall schedule of change initiatives have been developed to minimise peaks of demand.</p>							80

Corporate Risk 5 - Sickness Absence

Description				Lead Officer	Date Identified	Target End Date	
Sickness Absence: Levels of sickness absence in the Council, whilst reducing year on year, are still high and despite several initiatives to reduce levels and fulfil our duty of care remain a significant problem to service delivery. High levels of sickness are also damaging to the morale and wider health and well-being of staff, creating additional pressure where staff are required to cover absence. Whilst long term sickness cases have now reduced, incidences of stress/stress related absences have started to increase (albeit not necessarily work-related catalysts). There is also a significant cost pressure related to sickness absence.				Jackie Hinchliffe	31/01/13	31/03/14	
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	80	72	80				RED
Impact	Substantial	Substantial	Substantial				
Likelihood	Very High	High	Very High				
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions		Residual Rating 31/03/13	
<p>1. Monthly HR Management Information Packs presented to all Heads of Service and discussed between HR Advisors and DMTs/HOS – since Apr 2010</p> <p>2. Mandatory Training for People Managers on Promoting Positive Attendance – since July 2011</p> <p>3. Contract with DHS to provide nurse contact centre – Aug 2011 onwards</p> <p>4. Automatic Return to Work (RTW) notifications (since Aug 2011) Trigger management notifications via DHS system to notify managers of absence patterns (since May 2012). Reports on outstanding RTW and Triggers now issued monthly to HRAs and Leadership Group (via HRAs) (since Nov 2011) HR client meetings reviewing all outstanding RTWs and triggers. RTW/Triggers Performance reports being presented to CHRECC (quarterly).</p> <p>5. Regular monitoring of the 'case management' of long term sickness cases through HR client meetings, (Apr 2010 onwards) plus DHS named contact for each case of long term sickness.</p> <p>6. Sickness Absence Policy includes automatic referral to Occupational Health (OH) for all stress related sickness, regardless of length of absence. This is then followed up by OH and HR support for individual cases of stress - for both employee and manager</p> <p>7. Additional capacity created by recruiting Occupational Health Nurse initially on a year contract (now permanent) to ensure as timely and efficient appointments and case management as possible and to undertake targeted stress risk assessments – since April 2011</p> <p>8. Average sickness, long term sickness and stress related sickness have been indicators within the corporate scorecard since 2011-12 and will be proposed as indicators for 2012-13 (to be confirmed in February 2013) and as such are monitored and scrutinized on a monthly basis by Performance Board – since Apr 2011</p> <p>9. Quarterly report to Corporate HR, Equalities and Cultural Change Board (CHRECC) regarding stress/stress-related absence highlighting increased cases and making recommendations – since September 2011</p> <p>10. Review of stress related absence undertaken in January 2011, which led to a Management Action Plan for 2011-12</p>				<p>1. HR have monthly meetings with DMTs</p> <p>2. Course attendance was monitored by Developing Together and reported to Directors Board</p> <p>3. Regular monitoring meetings between Serco, HROD and DHS.</p> <p>4. Monthly meetings with HR and DMTs, with quarterly reports to CHRECC</p> <p>5. Monthly meetings with HRA/DMTs and HR Policy and Strategy Manager</p> <p>6. Monthly meetings with HRA/DMTs reported to CHRECC and the CH&S Board</p> <p>7. Monitoring of OH workloads/workflows through normal 1:1 PDR and team meetings</p> <p>8. Performance Board consider the sickness data on a monthly basis and recommend whether the issue needs to be highlighted to Directors Board, and then further to Cabinet and Corporate O&S</p> <p>9. Standing item on CHRECC and agreed actions incorporated into minutes of the Board</p> <p>10. Presented to DB in January 2011, review to be undertaken annually – scheduled to go to DB in February 2012</p>		72	
Target Risk / Opportunity							
Further Controls or Action				Assurance on Controls or Actions		Target R/O Rating	
<p>11. Confirmation of corporate scorecard for 2013-14 to contain indicators relating to average sickness, long term sickness and stress-related sickness (to be active from April 2013)</p> <p>12. Report being presented to Directors Board in February proposing further actions to improve attendance and well-being including a review against the Stress Management Action Plan identifying progress and further recommendations – this report will also go to CHRECC in February</p> <p>13. Additional stress risk assessment workshops are to be held in the New Year</p> <p>14. Analysis of stress risk assessments to be undertaken specifically in relation to work related stress (April – May)</p>				<p>11. Performance Board meeting in mid February 2013 to recommend KPIs. Directors Board to confirm agreement in late February 2013 with Cabinet to agree in April 2013.</p> <p>12. Directors Board through CHRECC to monitor further progress</p> <p>13. CHRECC to monitor</p> <p>14. Report will go to CHRECC in May 2012</p>		64	

Quarter 1 Review - Progress/ Developments Against Controls or Actions	Residual Rating Q1 30/06/13
<p>5. Close scrutiny of sickness absence being undertaken within case management. HRAs working with DMTs to actively manage absence cases</p> <p>6. Managing absence policy being reviewed again to improve process and understanding.</p> <p>11. KPIs confirmed as part of Corporate Scorecard – targets proposed to achieve a reduction in average per employee to 8.5 days a year.</p> <p>12. Initial programme of stress management training completed, evaluation undertaken and an action plan being developed for presentation to CHRECC in May. Head of HR/OD attended all DMTs to follow up DB discussion in February. Proposal for annual health checks being presented to CHRECC in May.</p> <p>13. Further Stress Risk Assessment sessions to be held in May.</p> <p>Sickness absence management and a healthy workforce remains a priority for all managers. In additions to the actions above a schedule of 'case reviews' is underway, along with increased monitoring of triggers and actions taken and a further programme of training and development for managers and staff. Performance monitoring is now embedded in manager's actions plans through standard objectives.</p>	80

Opportunities In Focus

Corporate Opportunity 17 - London Gateway

Description				Lead Officer	Date Identified	Target End Date	
<p>Development of deep water port and associated land side business and industrial functions will lead to significant investment, new business and employment opportunities and is key to the economic development of Thurrock.</p> <p>The initial stage (first berths of port) is scheduled to open Q4 2013 with continued investment and development in the port and the logistics park over the next 10 years to 2023.</p> <p>Potential Benefits</p> <ul style="list-style-type: none"> • Employment opportunities for local community and region • Economic development • Huge private investment from developer/operator. • Increase the profile of the borough. • Supports the Council priority to encourage, promote job creation and economic prosperity 				Andy Millard	10/01/13	31/12/13	
Rating	Inherent Rating	Residual Rating Q4 31/03/13	Residual Rating Q1 30/06/13	Residual Rating Q2 30/09/13	Residual Rating Q3 31/12/13	Residual Rating Q4 31/03/14	Latest RAB
Rating Score	80	80	90				RED
Impact	Exceptional	Exceptional	Exceptional				
Likelihood	Significant	Significant	High				
Current Risk / Opportunity (Residual R/O Rating)							
Current Controls or Action				Assurance on Controls or Actions	Residual Rating 31/03/13		
<p>1. Construction of port and dredging of channel by DP World progressing to programme. First berth completed Q4/2012.</p> <p>2. Construction of administration building and workshops progressing.</p> <p>3. Construction of Stanford junction improvements on A13 commenced 10/12</p> <p>4. Council's resolved to promote Local Development Order (LDO) in order to expedite development of logistics park. Specialist technical and legal advice secured.</p>					80		
Target Risk / Opportunity							
Further Controls or Action				Assurance on Controls or Actions	Target R/O Rating		
<p>Quarter dates for following actions expressed in quarters of calendar year:</p> <p>5. Q1/2013 Consultation on LDO to commence (subject to appropriate assessment).</p> <p>6. Q2/2013 Delivery of main cranes to commence.</p> <p>7. Q2/2013 Determination of LDO</p> <p>8. Q4/2013 Administration and workshop buildings to be completed.</p> <p>9. Q2/2013 Construction of new access road to commence.</p> <p>10. Q4/2013 1st berth to become operational.</p> <p>11. Q4/2013 Completion of A13 Stanford junction works.</p>					100		
Quarter 1 Review - Progress/ Developments Against Controls or Actions					Residual Rating Q1 30/06/13		
<p>1,6&10. Construction of port and dredging of channel by DP World progressing to programme. First berth completed Q4/2012. 3 main cranes delivered March 2013. Straddle cranes delivered and container storage for berth 1 completed March 2013.</p> <p>2. Construction of administration building and workshops progressing.</p> <p>3. Construction of Stanford junction improvements on A13 commenced Oct 2012 and is on programme.</p> <p>4. Council's resolved to promote Local Development Order (LDO) in order to expedite development of logistics park. Specialist technical and legal advice secured. Consultation on Habitat Regulation Assessment screening commenced 25/04/13.</p> <p>5. Revised Action/Timescale - Q2/2013 Resolution of Council to Consult on LDO</p> <p>7. Revised Timescale - Q3/2013 Determination of LDO</p>					90		