

Strategic/Corporate Risk & Opportunity Register April 2014 (In Quarter 1 Report)

In Focus Report

The Items are Split Between Risk & Opportunity and Listed in Priority (Rating) Order and Then Reference Number (Numeric) Order.

Risks In Focus

UNMANAGED / INHERENT RISK

Risk Description:							Risk Owner		
Balancing the cost of care and maintaining minimum quality standards - Risk that a combination of the following ongoing pressures:- financial pressures on local authorities (e.g. reduced teams for critical processes such as contract management, inability to uplift prices to counter competition for workers and inflationary increases, etc), 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/standards and failure of providers to maintain basic or minimum standards for service users. Ultimately results in risk to service user's health, reputational damage to the council and increased costs in managing escalated care and health needs and council intervention as a result. Neighboring boroughs where contract monitoring was reduced have experienced care home failures, in one home alone it was estimated that over 4,500 hours have been spent addressing this. Estimates indicate that the cost of this professional involvement were approximately £140k							Les Billingham		
Link to Corporate Priority									
Priority - Improve health and wellbeing									
Inherent Risk Rating		Date:	03/03/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 03/03/2014	Residual Risk Rating as at: 03/03/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 01/04/2015

Comments
The risk evaluates the impact of a combination of issues on the maintenance of care quality standards. The risk is rated at the higher level due to the financial pressures on local authorities and the impact this will have (e.g. reduced teams for critical processes such as contract management, inability to uplift prices to counter competition for workers and inflationary pressures, etc).

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented								
1. Contract compliance monitoring and audit function in operation across externally provided services	2013/14								
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. Bi annual Quality Surveillance Group (QSG) meetings with health colleagues and CQC to identify and manage risks across the whole system.	"								
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. (Yet to take place but should be carried out as a matter of urgency due to the reduction of some monitoring by other boroughs leading to significant failings of many care providers)	"								
7. Identify a 'fair price for care' – council to establish/decide on a fair price for care by carrying out meaningful fee consultations with providers to ensure the price we pay is reasonable.	"								
8. Establish minimum quality standards across services to be achieved regardless of cost. New QA framework established through the work undertaken by Herts CC and implemented across the region from Apr 2013 to enhance contract compliance assurance. Implemented in Thurrock through contract specs and provider quality framework (from Apr 2013).	From Apr 2012								
9. Ongoing price negotiation work to achieve a fair price on high-cost placements. From April 2011	From Apr 2011								
10. Market shaping and development of alternative provision for those with complex needs e.g. extra-care	2013/14								
11. Budget / growth strategy (strategy for future funding of care provision. To be incorporated into Market Position Statement. From May 2013	From May 2013								
12. Provision of a 2% inflationary increase for providers. From Dec 2012	From Dec 2012								
13. All providers reviewed service users and priority-ranked to assist support prioritization in event of lack of carers. From Dec 2012	"								
14. Business continuity plan for adult social care regularly reviewed to ensure up to date and sufficient in light of the risk. From Dec 2012	"								
15. Prepare for the potential for Thurrock to take emergency action, if required and notify CQC accordingly. From Dec 2012	"								
16. 'Step-up to care' training programme developed and implemented for non-care staff to act in emergency. Dec 2012 to May 2013	May 2013								
17. Prioritisation of the rapid response assessment service to manage emergency calls and ease pressure on hospital admissions and residential care admission. From Jan 2013. Service expansion agreed for 2013/14.	From Jan 2013								
Residual Risk Rating	<table border="1"> <tr> <td>Date:</td> <td>03/03/2014</td> <td>Impact:</td> <td>Critical (4)</td> <td>Likelihood:</td> <td>Likely (3)</td> <td>Rating:</td> <td>12</td> </tr> </table>	Date:	03/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Date:	03/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12		

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
18. Implement spot purchase contract with to take on work which is being retained by our in house team from April 2014. 19. Ongoing contract compliance monitoring and audit of externally provided services 20. Continue unannounced (including out of hours) monitoring visits (as required on risk-proportionate basis) 21. Maintain quarterly information sharing meetings with CQC and bi annual Quality Surveillance Group meetings with Health and CQC. 22. Provision of increase (1% plus 1%) for providers from April 2014		From April 2014						
Target Risk Rating	Target Date:	Refresh 01/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description		Risk Owner						
<p>The Care Bill 2014 (due to receive Royal Assent in May 2014) is the biggest change in legislation within Adult Social Care in over fifty years. The bill fundamentally changes the basis upon which social care is assessed and the parameters around what is and isn't eligible through moving to a broader "well being" definition of need. There is also a new statutory duty for adult safeguarding in partnership with health and the police. In the longer term the introduction of a new financial regime implementing the recommendations of the Dilnot report will change the way that social care is funded. Failure to successfully implement this Bill will leave the Council exposed to significant reputational and legislative risk resulting in the potential for legal challenge and an inability to control expenditure in an already difficult financial position.</p> <p>There is a very significant change programme required with a new national eligibility criteria, new assessment requirements for carers and a new duty upon local authorities around the Advice and Information offer it provides citizens. Not only will systems and business process need to be fundamentally reviewed within Adult Social Care but there will be a significant training and development programme required for staff as well as a need for a comprehensive community engagement programme.</p>		Les Billingham						
Link to Corporate Priority								
The introduction of the new bill links to the corporate priority to improve health and well being. The need to implement the bill alongside contributing to the Councils need to identify significant efficiencies will place a further pressure on resource levels.								
Inherent Risk Rating	Date:	21/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 21/03/2014	Residual Risk Rating as at: 21/03/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 30/09/2014

Comments
Programme management of this major legislative change would, in any normal year, become the major focus for the directorate. However we are currently having to programme manage and deliver four complex and wide ranging programmes of work; the care bill, better care fund integration, short term service efficiency and improvement projects and long term cultural change and transformation. Thurrock is a very low spending authority per capita on adult social care and also faces significant reductions to funding via the national austerity programme. Risks of non-delivery of any, or all, of these important programmes are exacerbated by these factors. Mitigation in the form of securing resources in the short term to provide adequate programme management, delivery and specialist expertise where required is necessary.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. The financial risks through the implementation of Dilnot have been highlighted through the Medium Term Financial Strategy	Feb - Apr 2014
2. Presentation to leadership group and Directors Board to get wider corporate strategic buy-in.	Mar - Apr 2014
Residual Risk Rating	Date: 21/03/2014
	Impact: Critical (4)
	Likelihood: Likely (3)
	Rating: 12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
3. Establish a Health and Social Care Transformation Programme Board which will oversee the implementation on the Care Bill requirements with specific workstreams on: a. Eligibility Criteria. b. Carers Assessments. c. Advice and Information	By May 2014	
4. A Care Bill Implementation team will be established.	By May 2014	
5. Monthly readiness assessments will be produced for the Programme Board	From June 2014	
6. Development of training programme for staff	By July 2014	
7. A communication plan for the wider community will be produced	By Sept 2014	
Target Risk Rating	Target Date: 30/09/2014	
	Impact: Substantial (3)	
	Likelihood: Likely (3)	
	Rating: 9	
Revised Residual Risk Rating	Date:	
	Impact:	
	Likelihood:	
	Rating:	

UNMANAGED / INHERENT RISK

Risk Description		Risk Owner						
Risk: 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.		Nicky Pace						
Link to Corporate Priority								
Priority - Improve health and wellbeing Priority - Create a great place for learning and opportunity								
Inherent Risk Rating	Date:	22/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 22/04/2014	Residual Risk Rating as at: 22/04/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 01/04/2015

Comments
This risk evaluates the impact of increased demand and resource pressures on children’s social care quality of service and provision. This risk remains from the previous year. The pressures outlined throughout the 2013/14 year remain acute. They include increased volumes, increased complexity, ongoing activity to review high cost placements, implementation of early help and multi-agency safeguarding hub. It is not possible therefore to downgrade the risk rating whilst this remains the case and the risk remains at a high level. A range of mitigating actions have been implemented throughout 2013/14 and management action plans are summarized below.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Planned reductions to the establishment implemented from August 2010 onwards to achieve reductions in expenditure.	Aug 2010 onwards.
2. Reduction in Service Managers undertaken in July 2011 to achieve in year savings.	July 2011
3. Reduction in social work staffing levels for looked after children undertaken in Dec 2011 to achieve in year savings.	Dec 2011
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.	Jul 2011 onwards.
5. Ongoing management review, reporting of services (e.g. resource and demand pressures) from February 2012, including: - 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).	Feb 2012 ongoing
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	Apr 2012 ongoing.
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.	Aug 2012 ongoing
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:	2012/13
(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.	Ongoing
(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.	Ongoing
(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 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.	Ongoing
(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>(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> <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>							Ongoing	
							Apr 2013	
							Apr/Jun 2013 ongoing	
							"	
							"	
Residual Risk Rating	Date:	22/04/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
13. Multi-Agency Safeguarding Hub (MASH) to be implemented from July 2014		July 2014						
14. Delivery of Ofsted mock inspection action plan – from November 2013		From Apr 2014						
15. Strategic action should be taken to better manage demand on social care services including engagement with schools, Health and other partner services to ensure that they are using their resources effectively thereby diminishing the compensatory actions being taken by the council.								
16. Munro Senior Social Worker – in post								
17. Enhanced quality auditing of existing caseloads – external resource brought in to lead and supported by new audit tool								
18. Quarterly regional safeguarding performance benchmarking – monitoring of key indicators of risk and performance								
19. Business case for CONTROCC finance and charging system to support control of financial management								
20. Further targeted analysis of cases and performance information to minimise any potential case drift and QA that all alternatives have been explored.								
Target Risk Rating	Target Date:	01/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
<p>Adult Social Care and the NHS are finding it increasingly difficult to meet demand for services, particularly when resource continues to decrease. With the expected ageing and growth of the population, we can expect age-related disease to continue to rise. Dementia for example is predicted to risk steeply in Thurrock, and by 2033 the population aged 85+ is projected to double. Two thirds of the resource spent on social care nationally is already spent on individuals with at least one long-term condition. For the NHS, the percentage spent is even higher. Lifestyle factors too will continue to compound the problem with Thurrock levels for smoking and obesity being significantly higher than the national average. Alongside a system that was designed in the 1940s and is no longer fit for purpose, a programme of major transformation is required.</p> <p>Further adding to the risk are the number of change programmes (all significant) being run concurrently:</p> <ul style="list-style-type: none"> • Care Act Implementation (see Corporate Risk); • Short-term Efficiency (ASC contribution towards Council's savings target); • Demand Management; and • Health and Social Care Integration (Better Care Fund Plan). <p>Thurrock Council in partnership with NHS Thurrock Clinical Commissioning Group (CCG) has developed a joint transformation programme. The Programme will align all change programmes as mentioned above. Failure of the programme to achieve its objectives will lead to the inability of social care and health to be able to meet demand within existing resources. For adult social care, this would mean either not providing services to those people who were eligible to receive them which would leave the council open to challenge and also result in a failure to meet statutory duties; or continue to provide services to those who qualify but exceeding budget.</p>								Roger Harris	
Link to Corporate Priority									
Improve Health and Wellbeing									
Inherent Risk Rating		Date:	15/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 15/04/2014	Residual Risk Rating as at: 15/04/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016

Comments
Programme management of this major legislative change would, in any normal year, become the major focus for the directorate. However we are currently having to programme manage and deliver four complex and wide ranging programmes of work; the care bill, better care fund integration, short term service efficiency and improvement projects and long term cultural change and transformation. Thurrock is a very low spending authority per capita on adult social care and also faces significant reductions to funding via the national austerity programme. Risks of non-delivery of any, or all, of these important programmes are exacerbated by these factors. Mitigation in the form of securing resources in the short term to provide adequate programme management, delivery and specialist expertise where required is necessary.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Programme Management arrangements in the process of being established alongside programme initiation document	April 2014
2. Some work already in progress – e.g. managing demand via Building Positive Futures Programme; process and service redesign already underway for in-house provision; review of external placements	"
3. Close partnership working with Thurrock CCG already established	"
4. Separate risk register developed as part of the Programme Management arrangements	"
Residual Risk Rating	Date: 15/04/2014 Impact: Critical (4) Likelihood: Likely (3) Rating: 12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
5. Embed Programme Management Arrangements – Programme Board and Work Streams (x4)	May 2014	
6. Fully develop work stream project plans	May 2014	
7. Identify resource requirements needed to enable change to take place	July 2014	
Target Risk Rating	Target Date: 31/03/2016 Impact: Critical (4) Likelihood: Unlikely (2) Rating: 8	
Revised Residual Risk Rating	Date: Impact: Likelihood: Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
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 provides.							Kathryn Adedeji / Andrew Austin.		
Link to Corporate Priority									
A well run organisation									
Inherent Risk Rating		Date:	Refreshed 15/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 15/04/2014	Residual Risk Rating as at: 15/04/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 30/09/2015

Comments
Initiatives are currently underway to manage and overcome the risk (e.g. implementation of flexible/ mobile working and IS/IT improvements through the refurbishment of Civic Offices). Progress against the strategy and project monitored regularly by the CISD and Transformation Boards.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Implementation of Oracle Enterprise Resource Planning (ERP) solution for Financial Management, HR, Payroll and Procurement services together with Business Intelligence reporting.								2013/14
2. Development and implementation of ICT initiatives as part of the corporate transformation programme to provide systems capable of supporting business requirements and initiating solutions that provide savings and service improvements (e.g. flexible/mobile working).								2013/14
3. Information System and Information Technology (IS/IT) strategy refreshed and reported to Cabinet March 2013								Mar 2013
4. Individual service transformation projects to support and drive ICT change in line with business requirements from/during 2013/14 (e.g. Housing).								2013/14
Residual Risk Rating	Date:	15/04/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
5. Ongoing monitoring of IS/IT Strategy by the Corporate Information Systems & Development Board (CISD)		From April 2014						
6. Ongoing monitoring of implementation IS/IT and refurbishment of Civic Offices by the Civic Offices Programme Board and Transformation Board.		From April 2014						
7. Recruitment of ICT Strategy Role in the Commercial Team.		May - Sept 2014						
8. Review and update the IS/IT strategy to take account of changes due to flexible working and ERP.		From Sept 2014						
Target Risk Rating	Target Date:	30/09/2015	Impact:	Critical (4)	Likelihood:	Very Unlikely (1)	Rating:	4
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
The Council fails to fully deliver the Medium Term Financial Strategy – The budget envelope is not maintained and/or savings are not delivered to meet forecasted budget deficits. Both or 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 impacts or the Council having to rely on further contributions from reserves in 2014/15.							Sean Clark / Directors Board	
Link to Corporate Priority								
Theme - A well run organisation								
Inherent Risk Rating	Date:	Refreshed 08/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 08/04/2014	Residual Risk Rating as at: 08/04/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 28/02/2015

Comments
The 2014/15 budget has been set with a planned contribution from reserves of £2.4M. Challenges such as savings targets for shared services, transformation and procurement and limited growth for demand led services such as children’s social care have been identified and are being monitored.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
1. MTFS established February 2013. The Council agreed a two year balanced budget covering the financial years 2013/14 and 2014/15							Feb 2013	
2. Monthly reports to Directors Board and quarterly reports to Cabinet on the MTFS / budget position. .							From Apr 2013	
3. Pressures for 2013/14 identified and appropriate action undertaken taken to ensure that the budget remained balanced and recognised that these actions will have an adverse effect on the 2014/15 budget position.							2013/14	
4. 2014/15 General Fund Budget and MTFS established and agreed by Council February 2014.							Feb 2014	
5. Core Shaping and Intelligence Group (CSIG) meeting weekly to guide the savings requirements for 2015/16 and the savings impact on 2014/15							From Mar 2014	
Residual Risk Rating	Date:	08/04/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
6. Ongoing monthly reporting to Directors Board and quarterly reports to Cabinet on the MTFS and 2014/15 budget position.	From Apr 2014							
Target Risk Rating	Target Date:	28/02/2015	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
<p>The Council faces significant budget pressures due to increasing demand in services (e.g. children’s social care) whilst facing significant funding reductions from central government. The government reductions will continue and the Council is now concentrating on the period 2015/16 through to 2017/18</p> <p>Failure to develop plans to set and maintain a balanced budget and to deliver the associated savings for the period 2015/16, 2016/17 and 2017/18 could lead to ill informed decisions on service reductions, unplanned efficiencies and in year overspends and result in service delivery impacts, negative feedback or publicity and unexpected contributions from reserves to balance the budget or, in the worse case, an ultra vires deficit budget position.</p>							Sean Clark / Directors Board	
Link to Corporate Priority								
Theme - A well run organisation								
Inherent Risk Rating	Date:	Refreshed 08/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 08/04/2014	Residual Risk Rating as at: 08/04/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 28/02/2015

Comments
<p>The Core Shaping and Intelligence Group (CSIG) have been formed and chaired by the Assistant Chief Executive. The group coordinates the process and findings for reshaping service delivery from 2015. The budget process is a standing item on each Directors Board and Leadership Group and the Directors Board Sub Groups are looking at cross Council service integration to feed into the process.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. MTFS established February 2013. The Council agreed a two year balanced budget covering the financial years 2013/14 and 2014/15 to provide a solid foundation to identify the future shape and service delivery mechanisms of the Council								Feb 2013
2. Reviews commenced to determine the future shape and service delivery mechanisms of the Council (e.g. Strategy Week, Star Chamber, Transformation, etc)								2013/14 Dec 2013
3. Managers Conference Dec 2012 – Concentrated on how the major cuts faced by the Council could be achieved and the effects on the organisation/services.								From Jan 2014
4. Budget Challenge – Service teams considered and put forward ideas to achieve savings. From Jan 2014								From Jan 2014
5. Leadership Group – Work undertaken to review services and to identify potential savings without taking service levels below the statutory minimum.								February 2014
6. MTFS for 2014/15 to 2017/18 established and agreed by Council February 2014.								From Mar 2014
7. Core Shaping and Intelligence Group (CSIG) meeting weekly to guide the savings requirements for 2015/16 and the savings impact on 2014/15								From Mar 2014
8. Directors Board Sub Groups established and working on themes covering; people, place, growth, regeneration, planning, streets and public health.								From Mar 2014
Residual Risk Rating	Date:	08/04/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
9. Proposals to close funding gap to be finalised	By July 2014							
10. Cabinet report on proposals to close funding gap.	July 2014							
11. Implementation of plans for the agreed proposals	From Jul/Aug 2014							
Target Risk Rating	Target Date:	28/02/2015	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
Complex and costly land acquisition including potential use of CPO powers, managing a long term relationship with the Council's development partner and securing the delivery of elements of the scheme that the Council is responsible for (school etc) are all fundamental to the success of the project.							Matthew Essex	
Link to Corporate Priority								
Priority 2. Encourage and promote job creation and economic prosperity Objective: Provide the infrastructure to promote and sustain growth and prosperity								
Inherent Risk Rating	Date:	Refreshed 21/03/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 21/03/2014	Residual Risk Rating as at: 21/03/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/12/2014

Comments
The Council appointed the 'Purfleet Centre Regeneration Limited' consortium as its development partner at the March 2014 Cabinet following conclusion of the OJEU competitive dialogue process. This has reduced the impact of the risks associated with the procurement process but all other risks (in respect of land assembly, reputation etc) remain the same.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
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 continues and managed by CBRE (property & real estate adviser). CBRE available to advise on CPO strategy, negotiations and valuations as required.							Ongoing from 2011	
2. Procurement of development partner – Selected and approved March 2014							Apr 2013 to March 2014	
3. S106 completed and outline planning permission have been secured							"	
Residual Risk Rating	Date:	21/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
With the development partner now appointed the project moves into the delivery phase with a great deal of work required between the Council and developer to map out the programme for delivering the project and identify/apportion the various risks that remain.		From April						
Target Risk Rating	Target Date:	31/12/2014	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description	Risk Owner							
<p>The Welfare Reform Act 2012 and the Local Government Finance Act 2012 have resulted in major changes to the welfare scheme, aiming 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 “Benefit Cap” (From July 2013) – The reform of the Disability Living Allowance and its replacement with Personal Independence Plans wef October 2013 – The replacement of the abolished elements of the Social Fund which was administered by the Department of Works and Pensions (DWP), by a local scheme. The Council was allocated funding for 2013/2014 and 2014/2015 to create a local scheme to replace Crisis Loans and Community Care Grants which had been part of the social fund. From April 2013 the council set up a grant based scheme known as Essential Living Fund to replace these parts of the Social Fund*. – The replacement of all working age benefits (Income Support, income-related Employment and 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>The reforms could lead to:</p> <ul style="list-style-type: none"> – 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. – Additional demand for Council services as a consequence of demographic and migration changes brought about by the Welfare Reforms (e.g. people moving to Thurrock from London). – The Council having to fund the Essential Living Fund scheme from 2015/16, if the Government decides not to extend the current two year funding arrangements for 2013/14 and 2014/15. 	Roger Harris							
Link to Corporate Priority								
Improve Health and Wellbeing / Encourage and Promote Job Creation and Economic Prosperity / Build Pride, Responsibility and Respect to Create Safer Communities.								
Inherent Risk Rating	Date:	19/03/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 19/03/2014	Residual Risk Rating as at: 19/03/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2015																																																																																																
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Comments
<p>The impact of the changes is being monitored by the Welfare Reform Group. In terms of the specific areas :</p> <ul style="list-style-type: none"> • The ELF has had a lower take-up than expected (largely because it is cashless) and the arrangements with Southend are working well. The main risk is over its continuance post 2014/15; • The social sector size criteria has affected nearly 1,000 people. DHP has been used to minimise the impact; HB arrears have been lower than expected; around 40 households have moved. The risk is over maintaining this position; • The benefit cap only affected a very small number of people and has had minimal impact; • The move from DLA to PIP is being monitored and numbers will grow as people switch at their review point. Delays remain the biggest problem. • LCTS – again arrears are lower than expected but it is causing financial hardship for significant numbers of people, the long-term impact of which is hard to assess at this stage; • Universal credit – the roll-out at a national level has been delayed because of IT and other implementation problems. There are opportunities to see if we can get a joined up assessment process between the Council and the DWP. • Movement of families and individuals from other local authorities especially London. There is anecdotal evidence that this is starting to happen although still at a small scale. There is a risk of local services expected to pick up more as numbers increase.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. The Welfare Benefits Reforms task and Finish Group (Lead by Roger Harris, Director of Adults, Health and Commissioning) meets monthly to monitor and evaluate the impact of the different changes. The group provides advice and guidance where relevant to the service departments responsible for the operation and implementation of reforms.	From April 2013
2. The Benefits and Housing service also meet monthly to discuss the discretionary Housing Payment (DHP) policy and budget to ensure that the fund provides those who have been impacted by benefit cap and under occupancy. DHP is the main financial resource available to the council to help provide the relevant top up for rent for people on Housing Benefit (HB).	"
3. The Council has also set up a Universal Credit Solutions group and a programme board to create the councils project plan for responding to the impact of Universal Credit and to start preparation activities. The start date of Universal Credit in Thurrock and most of the Country (except for Pilot areas) is still unknown. But DWP are using target of April 2016 as a target start date for planning activities.	"
4. The council is also working together with Job Centre Plus (part of Department for Work and pensions) to help develop understanding of each other's services and priorities for Thurrock residents and to help provide an informed holistic services. The Welfare Reforms project team are also working with	"

<p>other council services e.g. children's services, regeneration, Housing, children's centres and Troubled families to develop a partnership agreement and data protection protocols to enable effective joint working and targeting of benefit claimants seeking Employment and skills advice and support. Employment can help take individuals out of benefit dependency</p> <p>5. The Council Tax debt management team are in the process of reviewing the fair debt and bailiff policy to ensure individuals impacted receive as much support as possible during the bailiff and court summons process to recover unpaid council tax. In 2013/2014, about 600 LCTS affected customers had not paid Council tax and many others had been able to do so.</p> <p>6. The council has renewed its Service Level Agreement with Southend Council to continue processing the Essential Living Fund for 2014/2015.</p> <p>7. Housing Service:</p> <p>(i) The Council's Housing services have visited and provided benefits, debt and money advice to council tenants affected by the Benefit cap and under occupancy. They have visited residents at home and at outreach centres e.g. Community Hubs, Children's centres, libraries to provide advice. Although some people have been supported to downsize, there are still more people on the waiting list that need help to do so.</p> <p>(ii) Monitoring and management of potential increased rent arrears/evictions:</p> <ul style="list-style-type: none"> - Rents and Welfare team continuously monitors level of rent arrears and endeavour to make contacts with those affected and provide advice and assistance in order to assist in sustaining their tenancies. A Finance inclusion officer works with tenants affected by the changes, maximizing income and reducing expenditure, this is supplemented by a new SLA with Family Mosaic (partner) providing tenancies and financial advice, and other supporting services to residents. - An Eviction & Prevention Panel tracks all evictions and potential ones in the social sector resulting from the welfare reform, whereby a full consideration is made by the Head of Service prior to a final decision being taken of whether to precede with the evicting process or not. <p>(iii) Cap on Housing Benefit – Size Criteria (Including exclusion from entitlement to larger property than household requirement):</p> <ul style="list-style-type: none"> - Along with advice and assistance to access services and benefits (provided by the Rents and Welfare team), Housing Solutions teams assist tenants affected by the abovementioned changes in moving to alternative suitable and affordable properties (assistance includes financial incentive to downsize). - A 0.5% decrease in rent collection is currently anticipated as a result of the changes brought by the welfare reforms. <p>(iv) Homelessness and Temporary Accommodation:</p> <ul style="list-style-type: none"> - Lack of affordability of housing in inner London is resulting in an increased number of homelessness whereby Thurrock area is becoming a logical affordable place for an ad-interim housing for homeless households; Thurrock Private Housing Sector team works with private landlords to promote to maintain standards, and to make more affordable properties available for letting. 								<p>"</p> <p>"</p> <p>"</p>
Residual Risk Rating	Date:	19/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
8. The Welfare Benefits Reforms Task and Finish group to continue to meet monthly to monitor the impact and ensure that the council and its partners are working together to respond to known and identified needs where possible to do so.	From April 2014	
9. The Universal Credit Programme Board to continue working together with across council services and with partners e.g. DWP/JCP and CVS to plan and prepare for the impact of Universal credit.	"	
10. Review the funding and arrangement for Essential Living Fund grant and service delivery after this ends in March 2015	"	
11. Housing Service: (i) Continue to provide benefits, debt and money advice to council tenants affected by the Benefit cap and Social Sector Size Criteria	"	

<p>/ Under Occupancy.</p> <p>(ii) Monitoring and management of potential increased rent arrears/evictions:</p> <ul style="list-style-type: none"> - Rents and Welfare team to continue monitoring the level of rent arrears and endeavour to make contacts with those affected and provide advice and assistance in order to assist in sustaining their tenancies. - Finance inclusion officer to continue to work with tenants affected by the changes, maximizing income and reducing expenditure and Family Mosaic (partner) to continue to provide tenancy and financial advice and other supporting services to resident. - Eviction & Prevention Panel to continue to track all evictions in the social sector resulting from the welfare reform and Head of Service to maintain evaluations to inform judgements on whether to proceed with the eviction process. <p>(iii) Cap on Housing Benefit – Size Criteria (Including exclusion from entitlement to larger property than household requirement). Housing Solutions teams to continue to assist tenants affected by the cap on housing benefit</p> <p>(iv) Homelessness and Temporary Accommodation – Thurrock Private Housing Sector team to continue to work with private landlords to promote to maintain standards, and to make affordable properties available for letting.</p>								
Target Risk Rating	Target Date:	Refresh: 31/03/2015	Impact:	Critical (4)	Likelihood:	Likely (4)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
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 affecting Thurrock							Lucy Magill / Gavin Dennett	
Link to Corporate Priority								
Build pride, responsibility and respect to create safer communities Encourage and promote job creation and economic prosperity A well-run organisation.								
Inherent Risk Rating	Date:	31/03/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 31/03/2014	Residual Risk Rating as at: 31/03/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/12/2014

Comments
The work of business continuity is permanently ongoing due to the unpredictable nature of occurrence of disruptive events. The new aspect of working with the education department on development of critical incident plans for schools which is not only ensuring that Thurrock schools are resilient in their operation, but also creating an income stream for the department. The project is in its infancy as commenced in March 2014. This project has also led with schools linking in with Thurrock Councils Communications team to explore service level agreements.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
1. 95% of business continuity plans have been reviewed and returned, those outstanding are being followed up on. Report to Standards and Audit Committee February 2014 complete with new Corporate Business Continuity Plan, Policy and Statement. Four service business continuity plans have been exercised with service reviews and considerations given to external Council suppliers and their business continuity arrangements.							Sept 2013 - March 2014	
Residual Risk Rating	Date:	31/03/2014	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
2. Programme for advice and implementation of critical incident plans for schools commenced.	March 2014							
3. Further exercises to take place on critical functions of Council initially (5 exercises planned).	Apr - Oct 2014							
4. Re-establishment of Business Continuity Management Group	July 2014							
Target Risk Rating	Target Date:	Refresh 31/12/2014	Impact:	Substantial (3)	Likelihood:	Likely (3)	Rating:	9
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description		Risk Owner			
<p>In Thurrock, the M25 & A13 are routes of national & regional importance. Adverse traffic conditions on these routes often have a knock on effect to local roads, leading to localised gridlock and impacting negatively on economic productivity. The Dartford Crossing adds an additional element of traffic risk, as the bridge & the tunnels are more sensitive to accidents & congestion, in part due to the current method of tolling.</p> <p>Currently the need for major network improvements on strategic routes to facilitate growth has been identified as:</p> <ul style="list-style-type: none"> * M25 – improvements at Junction 30/31 * The introduction of free flow tolling on the Thurrock/Dartford Crossing. The Government is planning to introduce free-flow charging at the Dartford Crossing in October 2014 and raise charges at the same time, although major disruptive road works will continue at the crossing and its approaches until April 2014. * The consideration of an additional long-term river crossing capacity. The DfT is currently giving further consideration to their Options A and C for a new Lower Thames Crossing and their final decision will have long-term and significant implications to the Borough. * A13 – widening of the section between Manorway and Orsett Cock. <p>Planned developments (such as London Gateway, Port of Tilbury expansion and Lakeside) are likely to continue to increase congestion without adequate improvements to infrastructure. However, as these and other developments are delivered, some new public transport routes may open up as demand increases but will not fully mitigate the impact upon the network. In this regard, the A13 is of particular concern. DP World provides only part funding for the necessary widening from Manorway to Orsett Cock and there is a shortfall in the region of £70M.</p>		<p>David Freestone / Basil Jackson</p>			
Link to Corporate Priority					
<p>Priority 2 - Encourage and promote job creation and economic prosperity. Objective - Provide the infrastructure to promote and sustain growth and prosperity.</p>					
Inherent Risk Rating	Date:	Refreshed 17/03/2013	Impact: Substantial (3)	Likelihood: Very Likely (4)	Rating: 12

DASHBOARD

Inherent Risk Rating & Date: 17/03/2014	Residual Risk Rating as at: 17/03/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2015
<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>

Comments
On 17 March 2014 the Risk Description was revised to reflect the current situation and the anticipated Management and Further Mitigation required in 2014-15 (e.g. lobbying government with regard to changes to the existing Dartford Crossing, Lower Thames Crossing Options Review, improvements to J30/31, widening of A13 between Manorway and Orsett Cock, etc.)

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Lobbying Government to fast-track free flow charging at the Dartford Crossing throughout 2013/14. Government to introduce free flow charging Oct 2014.	2013/14
2. Engagement in the Government's Lower Thames Crossing Options Review through Stakeholders Panel and DfT consultations. Council's response to Government consultation on options for Lower Thames Crossing agreed by Cabinet July 2013.	2013/14
3. Lobbying Government for improvements to J30/31 throughout 2013/14. £150M scheme announced by the Government.	2013/14
4. Lobbying Government, EU, SELEP on widening of the A13 between Manorway and Orsett Cock especially in identifying funding opportunities. Work to include the promotion of this infrastructure requirement directly by the Council and via TGSE and SELEP.	2013/14
Residual Risk Rating	Date: 17/03/2014
Impact:	Substantial (3)
Likelihood:	Very Likely (4)
Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
5. Lobbying Government not to raise charges at the Dartford Crossing until all the planned works are completed, possibly, in April 2015.	On-going to October 2014	
6. Continue to engage in the Government's Lower Thames Crossing Options Review: <ul style="list-style-type: none"> i. Undertake public engagement events in Thurrock in 2014 relating to the remaining Options of A and C. ii. Review the Council's position on the longer-term and far reaching implications of any decision made by the Government following the DfT's consultation on their Lower Thames Crossing Options. 	2nd April and a date tbc in June 2014	
7. Lobbying Government for additional improvements to J30/31 over and above the £150m scheme announced by the Government.	On-going and throughout 2014-2015	
8. Continue lobbying Government, EU, SELEP on widening of the A13 between Manorway and Orsett Cock especially in identifying funding opportunities. Work to include the promotion of this infrastructure requirement directly by the Council and via TGSE and SELEP	On-going and throughout 2014-2015	

9. Progress transport schemes to be delivered through funding from the Local Growth Fund via the SELEP			On-going and throughout 2014-2015					
Target Risk Rating	Target Date:	31/03/2015	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description						Risk Owner			
The political balance of the council has been altered following the election and there is no overall control of the Council. Lack of cooperation between party groups/members could hinder or unduly delay the decision making arrangements and impair the achievement of the Council's priorities/objectives and the delivery of the transformation and savings agenda.						Fiona Taylor			
Link to Corporate Priority									
Theme: A well-run organisation									
Inherent Risk Rating		Date:	09/06/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 09/06/2014	Residual Risk Rating as at: 09/06/2014	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2015

Comments
The Council has implemented governance arrangements within its Constitution and particularly its Scheme of delegation to ensure the risk of the above is minimised. Statutory officers of the council are aware of their responsibilities to ensure the political balance of the council does not hinder or delay dealing with difficult issues and the importance of early consultation with all political groups.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
1. Constitution and Members Code of Conduct reviewed November 2013.							Nov 2013	
2. Members Induction, including role as a Councillor and legal and governance obligations.							May 2014	
3. Regular group leaders meetings to discuss issues of contention and significant issues affecting the council.							Ongoing	
Residual Risk Rating	Date:	09/06/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
4. Chief Executive and Monitoring Officer to facilitate a high level of cooperation between group leaders to ensure decision making is not unduly delayed.	Ongoing							
5. Consideration and development of a political protocol that sets out how senior officers will work with all members to ensure that officers: (i) Make arrangements and understand the significance of communication with all political parties with integrity, impartiality and objectivity and (ii) Work with all members to build consensus where possible and ensure cross party briefings take place in a regular and timely way.	June 2014							
6. Regular meetings of the council's statutory officers to ensure the above is on target.	June 2014							
Target Risk Rating	Target Date:	31/03/2015	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

Opportunities In Focus

UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description		Opportunity Owner						
<p>Gloriana Thurrock Ltd is a company set up and wholly owned by Thurrock Council with the objective of developing high quality homes on Council owned land in order to stimulate the weak private sector market and assist in delivering the Council's vision for Thurrock and ambitious housing targets. The Council will transfer land to Gloriana in exchange for shares and the Council will prudentially borrow and on- lend money (at a margin) to Gloriana to develop housing on that land. The Housing department will act as agent for Gloriana, in developing and managing the homes, on full commercial terms. The arrangements that have been put in place comply with state aid and other regulatory requirements and have been discussed with the Council's external auditors. The financial projections, prepared by PricewaterhouseCoopers show that, on a fairly prudent set of assumptions, Gloriana should be able to repay its borrowings from the Council (giving rise to a small annual surplus to the General Fund) and, in addition, generate a longer term equity return to the Council.</p>		Barbara Brownlee						
Link to Corporate Priority								
<p>Priority: Encourage and Promote Job Creation and Economic Prosperity. Gloriana supports the delivery of the Thurrock Vision – “Thurrock: A Place of opportunity, enterprise and excellence, where individuals, communities and businesses flourish” and the five strategic priorities. It will help to meet directly the target to build 18,500 homes by 2021.</p>								
Inherent Opportunity Rating	Date:	01/04/2014	Impact:	Exceptional (4)	Likelihood:	Very Unlikely (1)	Rating:	4

DASHBOARD

Inherent Opp. Rating & Date:01/06/2014	Residual Opp. Rating as at:01/06/2014	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Target Opp. Rating & Target Date: 31/03/2015																																																																															
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Comments

The opportunities flow directly from the Company's objectives which are to build high quality housing in support of Thurrock's Vision and growth targets. If Gloriana can deliver high quality housing within the financial parameters set in the Business Case approved by Cabinet then much needed affordable housing will be provided for the Borough and a financial return will flow to the Council. The Business Case presented to Cabinet in March included a governance and scheme gateway process to enable the effective management of the opportunities and risks flowing from the project. A general risk register and a specific risk register for the first site, St Chad's in Tilbury, showed that some risks had already been mitigated or mitigation/management actions were already in place. Scheme development risks would remain as key risks to be managed and mitigated in future together with demand risk in relation to letting/selling the properties.

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place							Date Implemented	
1. Gloriana Thurrock Ltd a company wholly owned by Thurrock Council set up.							Mar 2014	
2. Opportunities for development on Council land being actively pursued – First site identified (St Chads in Tilbury) and second site (Belmont Road in Grays) under consideration. Profile of Gloriana being raised (MJ Awards, discussions with other authorities, developers) to increase awareness and exploit the potential.							Jun 2014	
3. Risks registers reviewed and risk mitigation measures in hand. Discussions progressing with Wilmott Dixon to establish a fixed price contract within the financial parameters set for the scheme and which will provide for effective transfer of construction related risks to the contractor. Soft market testing of potential marketing agents complete and tender process in hand.							Jun 2014	
Residual Opportunity Rating	Date:	01/06/2014	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action	Implementation Date	Progress						
4 Further actions required to identify additional sites in locations related to Thurrock's strategic growth areas which can best pump prime private sector development.	Sept 2014							
5. Additional financial analysis needed to consider relative merits of transfer of Council General Fund land to Gloriana.	Sept 2014							
6. Further consideration of use of HRA land by Gloriana as HRA reaches borrowing cap.	Sept 2014							
7. Consider opportunities for working with developers in relation to S.106 requirements.	Dec 2014							
Target Opportunity Rating	Target Date:	31/03/2015	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16
Revised Residual Opportunity Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description				Opportunity Owner					
The Council has entered into a Business Rate pooling arrangements with Basildon Borough Council and the London Boroughs of Barking & Dagenham and Havering for the financial year 2014/15. The pooling arrangement offers the opportunity for Thurrock to work collaboratively with members of the pool to address strategic issues (e.g. skills, economic development and transport), support economic growth and increase the proportion of any business rates income retained.				Matthew Essex					
Link to Corporate Priority									
Priority – Encourage and promote job creation and economic prosperity. Objective – Support local business and develop the skilled workforce they will require. Deliverable – Facilitate the implementation of National Non-Domestic Rates (NNDR) pooling arrangements and establish a clear delivery programme of activity across the pool to support economic growth.									
Inherent Opportunity Rating		Date:	09/06/2014	Impact:	Exceptional	Likelihood:	Very Unlikely (1)	Rating:	4

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Comments

Pooling arrangements established with Basildon Borough Council and the London Boroughs of Barking & Dagenham and Havering. Work in progress to develop a clear delivery programme of activity across the pool to support economic growth.

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place							Date Implemented	
1. Review and modelling of options associated with the Business Rates Retention Scheme.							Mar/ Jun 2013	
2. Identification and agreement of preferred option. Pooling arrangements to be developed with Basildon Borough Council and the London Boroughs of Barking & Dagenham and Havering							Jun/Sept 2013	
3. Model to share the Retained Levy negotiated and agreed with pool members and Memorandum of Understanding setting out the broad principles, aims, objectives and exit arrangements of the pooling arrangement established.							Sept/Oct 2013	
4. Application to CLG to form a business retention pool with Basildon Borough Council and the London Boroughs of Barking & Dagenham and Havering - October 2013.							Oct 2013	
Residual Opportunity Rating	Date:	09/06/2014	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action		Implementation Date	Progress					
5. Establish a clear delivery programme of activity across the pool to support economic growth		Sept 2014						
6. Ongoing monitoring and reporting of performance of the pool.		From Apr 2014						
Target Opportunity Rating	Target Date:	Refresh 31/03/2015	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16
Revised Residual Opportunity Rating	Date:		Impact:		Likelihood:		Rating:	