

**Strategic/Corporate Risk & Opportunity Register (Q1)  
Follow Up Report - Risks With High (Red) Target Ratings**

*Risks in Reference Number (Numeric) Order*

UNMANAGED / INHERENT RISK

<b>Risk Description:</b>							<b>Risk Owner</b>		
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, significant and continued pressures on hospital A&E and periods of 'black alert', market wide decrease in number of care workers 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. Some of our domiciliary care providers have stated that they will not be able to continue to provide care unless we increase the rate that we pay. Reductions in the number of contract officers from 4 to 2 and the senior contract officers from 2 to 1 means that monitoring cannot take place as frequently as it used to. Also the introduction of new team responsibilities means that the senior and team manager are covering both areas.							Les Billingham		
<b>Link to Corporate Priority</b>									
Priority – Build pride, responsibility and respect; Improve health and wellbeing									
<b>Inherent Risk Rating</b>		Date:	17/04/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 17/04/2015	Residual Risk Rating as at: 17/04/2015	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016																																																																																																																												
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<b>Comments</b>
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). We have agreed to provide our residential providers for older people an uplift of 1% for 15/16, with a possibility of a further 1% linked to performance. Whilst contingencies are and continue to be considered, the current Council financial situation is making finding a workable solution difficult. Hence the risk rating.

## 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. Quarterly 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 residential older people providers (1% linked to performance).	April 2015
13. All providers reviewed service users and priority-ranked to assist support prioritization in event of lack of carers and reviewed by Contract Officers bi annually	"
14. Business continuity plan for adult social care regularly reviewed to ensure up to date and sufficient in light of the risk. (This is not currently up to date due to capacity issues, all plans require review)	"
15. Prepare for the potential for Thurrock to take emergency action, if required and notify CQC accordingly. From Dec 2012	May 2013
16. 'Step-up to care' training programme developed and implemented for non-care staff to act in emergency. (this list is out of date and requires updating)	From Jan 2013
17. Prioritization of the rapid response assessment service to manage emergency calls and ease pressure on hospital admissions and residential care admission.	
18. Spot purchase contact to take on work retained by in house team	April 14

19. Restructure of fieldwork /contract/safeguarding and joint reablement teams to ensure need for efficiency is managed without compromising quality and regulatory function.								
<b>Residual Risk Rating</b>	Date:	17/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
20. Provision of increase (1% plus 1% for performance) for OP Residential providers from April 2015	April 2015							
21. As part of Care Act implementation plan prepare for statutory services to intervene in the event of provider failure	From April 2015							
22. Agree new process for agreeing emergency home care packages to ensure consistency of approach to respond to unprecedented market pressure	During 15/16							
23. Agree funding increase for specific home care packages to ensure market failure of current providers is avoided.	Ongoing							
<b>Target Risk Rating</b>	Target Date:	31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	

**Rationale for Applying High (Red) Target Rating:**

There are significant pressures on adult social care. This includes continued demand for services, increased complexity of care needs for those requiring a service, and year on year budget reductions. This in turn is placing significant pressure on our external providers who provide the majority of care needs to service users with eligible care needs. The Council has negotiated hard over the years to secure efficiencies in commissioned social care services. In addition, providers have had no or very little inflationary uplift. This is a situation that is set to continue. The consequence of the pressures on the current provider market has the potential to bring that market to crisis point. The fragility of the market place is compounded by the difficulty in recruiting and retaining the numbers of staff required to meet demand, ensuring those staff have the right skills, and paying staff enough to retain them in the market place. Some providers have already raised concerns about their ability to continue providing care, and the Council has provided 'sticking plaster' solutions through on-off uplifts. There is no easy answer and the ongoing financial situation finds making a workable solution very difficult.

The pressures are expected to continue and will not be alleviated in the short term. A target date of 31/03/16 has been applied to the risk, which is the time when the documentation will be fully reviewed, refreshed and updated to reflect the changes to the situation and the risk. It is predicted that the risk will remain at the higher (red) level as at the 31/03/16 and a target rating of Critical/Likely applied.

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
<p>The Care Act 2014 is the biggest change to Adult Social Care legislation since the 1948 National Assistance Act. The Act fundamentally changes the basis upon which social care is assessed and the parameters around what is and is not 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 the Act 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>Part 1 of the Act came into operation as of 1<sup>st</sup> April, and key risks will relate to potential increase in demand from the implemented changes. The focus of the Council’s work on the Care Act for 2015/16 will be monitoring how well embedded part 1 changes are, understanding the true costs of the changes – e.g. increase in demand, and preparing for the implementation of part 2 of the Act.</p>							Les Billingham		
Link to Corporate Priority									
The introduction of the new Act links to the corporate priorities to build pride, responsibility and respect and to improve health and well being. The need to implement the Act alongside contributing to the Council’s need to identify significant efficiencies will place a further pressure on resource levels.									
Inherent Risk Rating		Date:	16/04/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 16/04/2015	Residual Risk Rating as at: 16/04/2015	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016
<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>

Comments
<p>Programme management of this major legislative change would, in any normal year, be the major focus for the directorate. However we are currently having to programme manage and deliver a number of complex and wide ranging programmes of work; the care act, better care fund s75, 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. The risks associated with the implementation of the Care Act are as yet unquantified which is one of the reasons this risk will remain high risk – even post-implementation.</p>

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. Implementation of changes associated with part 1 of the Act – e.g. carers' assessment, information and advice portal, resource allocation system								Mar – Apr 2015
3. Appointment of Care Act Project Manager – Finance – to manage the implementation of the changes associated with implementing part 2 of the Act (changes to charging)								April 2015
4. Training of social care practitioners								Mar - Apr 2015
Residual Risk Rating	Date:	16/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
5. Development of project plan for implementing changes to charging for adult social care	April 2015							
6. Development of means of measuring how well embedded part 1 changes are	May 2015							
7. Undertake financial modelling of impact of part 2 changes	May/June 2015							
8. Review Care Act project arrangements	May 2015							
9. Regional and national benchmarking – e.g. via Regional Care Act Group	On-going							
10. Engagement workshops	December 2015							
11. Impact analysis of final guidance	October 2015							
Target Risk Rating	Target Date:	31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

**Rationale for Applying High (Red) Target Rating:**

Whilst the Government has recently announced that the implementation of part 2 of the Care Act has been delayed to 2020 (care cap, extension to the means test) which has in turn reduced the financial impact associated with the implementation of the Act, the impact of part 1 is still relatively unknown. For example, the impact of applying the new national eligibility threshold and the impact of carers being able to request an assessment regardless of the needs of the person they are caring for. The Council will be undertaking an impact assessment of part 1 changes towards the end of the year, allowing sufficient time for bedding-in. That said, given the delay to part 2 of the Act, the risk rating is likely to be lower than previously stated and will bring this risk below the 'red' risk threshold (e.g. suggest the risk level is now 9 rather than 12). This change and revised target rating will be reflected in the next review, which is scheduled to commence in September.

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"> <li>• Care Act Implementation (see Corporate Risk);</li> <li>• Short-term Efficiency (ASC contribution towards Council's savings target);</li> <li>• Whole System Redesign – including health and social care integration</li> </ul> <p>Thurrock Council in partnership with NHS Thurrock Clinical Commissioning Group (CCG) has developed a joint transformation programme which is overseen via an Integrated Commissioning Executive. 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								
Build Pride, Responsibility and Respect Improve Health and Wellbeing								
Inherent Risk Rating	Date:	15/04/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 15/04/2015	Residual Risk Rating as at: 15/04/2015	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 a number complex and wide ranging programmes of work; the care act, whole system redesign including health and social care integration, short term service efficiency and improvement projects. 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 established alongside programme initiation document	April 2014
2. Some work already in progress – e.g. delivery of Care Act 2014 part 1 requirements, Better Care Fund Plan and section 75 agreement agreed, governance arrangements to oversee delivery of BCF Plan and the whole system redesign programme established – via Integrated Commissioning Executive	"
3. Close partnership working with Thurrock CCG already established	"
4. Separate risk register developed as part of the Programme Management arrangements	"
5. Programme arrangements revised to reflect new phase. S75 agreement approved and S75 disbanded. New Integrated Commissioning Executive established to oversee the delivery of both the BCF S75 agreement and the Whole System Redesign programme.	By Apr 2015
<b>Residual Risk Rating</b>	Date: 15/04/2015 Impact: Critical (4) Likelihood: Likely (3) Rating: 12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
6. Continue programme arrangements	Ongoing	
7. Develop work programme for the Integrated Commissioning Executive	May 2015	
8. Agree health and care system case for change	May 2015	
9. Develop work streams and work stream plans underpinning agreed case for change	May/June 2015	
10. Develop risk register for each project group	May/June 2015	
11. Development of BCF Section 75 agreement for 16/17	March 2016	
<b>Target Risk Rating</b>	Target Date: 31/03/2016 Impact: Critical (4) Likelihood: Likely (3) Rating: 12	
<b>Revised Residual Risk Rating</b>	Date: Impact: Likelihood: Rating:	



### **Rationale for Applying High (Red) Target Rating:**

The health and care system in Thurrock and beyond are finding it increasingly difficult to meet demand for services. Demand continues to increase, whilst funding available reduces. The health and care system is interdependent and must shift towards prevention and early intervention and away from dealing with people at crisis point if it is to ever stem the tide of demand and use resources in the most effective way. Transformation will not happen overnight though and requires some radical change. Therefore whilst Adult Social Care has a transformation programme, and Adult Social Care and the CCG are developing their joint system transformation vision and direction of travel, a real impact will not be seen in the short-term. Failure to transform the health and social care system puts both the council and NHS at significant risk of being able to both meet and reduce demand.

The pressures are expected to continue and will not be alleviated in the short term. A target date of 31/03/16 has been applied to the risk, which is the time when the documentation will be fully reviewed, refreshed and updated to reflect the changes to the situation and the risk. It is predicted that the risk will remain at the higher (red) level as at the 31/03/16 and a target rating of Critical/Likely applied.

## 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"> <li>– The replacement of Council Tax Benefit with Localised Council Tax Support wef April 2013</li> <li>– The introduction of a "size criteria" and limitation of Housing Benefit within the social rented sector wef April 2013</li> <li>– The limitation of total benefits through an overall household "Benefit Cap" (From July 2013)</li> <li>– The reform of the Disability Living Allowance and its replacement with Personal Independence Plans wef October 2013</li> <li>– 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*.</li> <li>– 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)</li> <li>– Further possible changes may take place post general election, which could include: <ul style="list-style-type: none"> <li>o Reduction to the total amount of benefits a household is entitled to (Benefit Cap).</li> <li>o Taxing Disability Living Allowance, Personal Independence Payment, and Attendance Allowance.</li> <li>o Reviewing contribution-based Employment Support Allowance, Jobseekers Allowance, and work-related activity group for ESA.</li> <li>o Reviewing the entitlement threshold to carers' allowance and Housing Benefit.</li> <li>o Limiting Child benefits to a number of children.</li> </ul> </li> </ul> <p>The reforms could lead to:</p> <ul style="list-style-type: none"> <li>– 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.</li> <li>– 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).</li> <li>– The Council funding the Essential Living Fund scheme from 2015/16, as the Government decided not to extend the current two year funding arrangements for 2013/14 and 2014/15.</li> </ul>	Roger Harris								
<b>Link to Corporate Priority</b>									
Build Pride, Responsibility and Respect									
<b>Inherent Risk Rating</b>	<table border="1"> <tr> <td>Date:</td> <td>17/04/2015</td> <td>Impact:</td> <td>Critical (4)</td> <td>Likelihood:</td> <td>Very Likely (4)</td> <td>Rating:</td> <td>16</td> </tr> </table>	Date:	17/04/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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DASHBOARD

Inherent Risk Rating & Date: 17/04/2015	Residual Risk Rating as at: 17/04/2015	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016																																																																																																
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Comments
<p>The impact of the changes was being monitored by the Welfare Reform Group and Universal Credit Strategy Group which has now been combined into one group The Welfare Reform Strategy Group. In terms of the specific areas :</p> <ul style="list-style-type: none"> <li>• The Essential Living Fund has had a lower take-up than expected (largely because it is cashless) and the arrangements with Southend are working well. The scheme will continue as per Cabinet approval in December for 2015/16; as such the Council will contribute £331,425 towards the running of the scheme, it is likely that no less than £266,925 will be available to eligible applicants during the fiscal year.</li> <li>• The social sector size criteria have affected nearly 1,000 people. Discretionary Housing Payment has been used to minimise the impact; Housing Benefit arrears have been lower than expected; around 65 households have moved. The risk is over maintaining this position;</li> <li>• The benefit cap only affected a very small number of people and has had minimal impact;</li> <li>• The move from Disability Living Allowance to Personal Independent Plan is being monitored and numbers will grow as people switch at their review point. Delays remain the biggest problem. However, the DWP states that waiting times have now been reduced to 6 weeks.</li> <li>• Localised Council Tax Support – 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; The 2015/16 scheme has now been approved by full Council as at January and will remain the same as the last 2 years.</li> <li>• Universal Credit – the process of its rolling out in Thurrock began in March 2015. At this stage it affects new claimants from single jobseekers such as people entitled to Job Seekers Allowance, and includes; Housing Costs and Tax Credits. The roll-out to all other categories of people including Couple's and families with children is continuing in a phased process in all chosen pilot areas, but is expected to be completed by 2016/2017.</li> <li>• Universal Credit has faced significant delays because of IT and other implementation problems. There are opportunities to see if we can get joined up professional Benefits, Money and Employment advice and support services between the Council and the Job Centre Plus/Dept of Works &amp; Pensions. The start of this has been to join up Housing Assessments and DWP assessments on the ground floor of the Civic Offices. This went live at the end of January 2015.</li> <li>• A Delivery Partnership Agreement (DPA) was signed by Thurrock Council and the DWP, taking effect from the 16<sup>th</sup> of March 2015</li> </ul>

Management Action or Mitigation Already in Place	Date Implemented
1. Welfare Reform Strategy Group and monthly meetings established.	From Apr 2013
2. Discretionary Housing Payment (DHP) policy and budget regularly reviewed by Benefits and Housing Services	From Apr 2013
3. Universal Credit Programme Board working with the Department of Works and Pensions and Job Centre Plus to plan and prepare for the impact of Universal Credit.	From Apr 2013
4. Council Tax Debt Management Team review of fair debt policy to ensure individuals impacted by Welfare Reform receive appropriate support during the Bailiff and Court Summons process to recover unpaid council Tax.	From Apr 2013
5. Service Level Agreement with Southend Council for the Essential Living Fund established for the year 2013/14 and renewed for the years 2014/15 and 2015/16.	From Apr 2013
6. Universal Credit Programme board working with the Department of Work and Pensions and job Centre Plus to plan and prepare for the impact of Universal Credit	From Apr 2014
7. A Delivery Partnership Agreement (DPA) was signed by Thurrock Council and the DWP, taking effect from the 16th of March 2015, This agreement will endeavour to: <ul style="list-style-type: none"> <li>- DWP to provide reasonable support to the Authority to support the development and implementation of local service provisions (providing Data, guidance, products...etc.).</li> <li>- Monitor the impact and take appropriate actions.</li> <li>- Provide support around housing cost issues that may rise, e.g. setting up a <i>Personal Budgeting Support</i> scheme to assist Thurrock residents affected or potentially affected by the welfare changes.</li> <li>- Providing support to claimants to go online and stay on line.</li> <li>- Processing Local Council Tax Reduction Scheme.</li> <li>- Supporting claimants with complex needs (e.g. support with personal budgeting)</li> <li>- Working with Universal Credit Programme to inform and assist Landlords' through the current and prospective changes.</li> </ul>	From Mar 2015
8. Housing Service: <ol style="list-style-type: none"> <li>(i) Provide benefits, debt and money advice to council tenants affected by the Benefit cap and Social Sector Size Criteria / Under Occupancy. Examples include: Visits to residents at home and at outreach centres, partnership with Family Mosaic established to provide tenancy, financial advice and other support services to residents.</li> <li>(ii) Undertake monitoring and management of potential <u>increased rent arrears/evictions</u>: <ul style="list-style-type: none"> <li>- <u>Rents and Welfare team 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.</u></li> <li>- <u>Finance inclusion officer working with tenants affected by the changes, maximizing income and reducing expenditure</u> and Family Mosaic (partner) to providing tenancy, financial advice and other supporting services to resident.</li> <li>- Eviction &amp; Prevention Panel tracking all evictions in the social sector resulting from the welfare reform and Head of Service undertaking evaluations to inform judgements on whether to proceed with the eviction process.</li> </ul> </li> <li>(iii) <u>Cap on Housing Benefit, Size Criteria (Including exclusion from entitlement to larger property than household requirement)</u>: <ul style="list-style-type: none"> <li>- Housing Solutions teams provide assistance to tenants affected by the cap on housing benefit..</li> </ul> </li> </ol>	From Apr 2013

<ul style="list-style-type: none"> <li>– Welfare Coordinator appointed Jan 2015 to oversee the implementation of the next phase of Universal Credit in Thurrock: <ul style="list-style-type: none"> <li>○ Minimizing disruptions leading to service users being detrimentally affected by such changes.</li> <li>○ The development of a multi-agency approach strategy.</li> <li>○ Creating closer inter-departmental working relationships and with key stakeholders such as DWP and HRMC (DPA agreed and in place since March 2016).</li> <li>○ DPA endeavours to provide relevant services to vulnerable claimants, and those who require it. This plan is predominantly funded by DWP to facilitate the process of claims being made online.</li> <li>○ Learning from best practices and other pilot schemes.</li> </ul> </li> </ul> <p>(iv) <b>Homelessness and Temporary Accommodation</b> – Thurrock Private Housing Sector team working with private landlords to promote to maintain standards, and to make affordable properties available for letting.</p>	
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<b>Residual Risk Rating</b>	Date:	17/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
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FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

<b>Further Management or Mitigating Action</b>	<b>Implementation Date</b>	<b>Progress</b>
9. Welfare Strategy Group to continue to meet monthly to monitor the impact, ensure the Council and partners are working together to respond to identified needs and to support local residents affected by the changes.	From Apr 2015	
10. Universal Credit Programme Board continue to work with the Department of Work and Pensions and Job Centre Plus to provide advice and support services to people impacted by the various welfare reforms.	From Apr 2015	
11. Continued implementation of the Delivery Partnership Agreement (DPA) by Thurrock Council and the DWP. Agreement includes: <ul style="list-style-type: none"> <li>– DWP to provide reasonable support to the Authority to support the development and implementation of local service provisions (providing Data, guidance, products...etc.).</li> <li>– Monitor the impact and take appropriate actions.</li> <li>– Provide support around housing cost issues that may rise, e.g. setting up a <i>Personal Budgeting Support</i> scheme to assist Thurrock residents affected or potentially affected by the welfare changes.</li> <li>– Providing support to claimants to go online and stay on line.</li> <li>– Processing Local Council Tax Reduction Scheme.</li> <li>– Supporting claimants with complex needs (e.g. support with personal budgeting)</li> <li>– Working with Universal Credit Programme to inform and assist Landlords' through the current and prospective changes.</li> </ul>	From Apr 2015	
12. Housing Service to continue: <ul style="list-style-type: none"> <li>(i) To provide benefits, debt and money advice to council tenants affected by the Benefit cap and Social Sector Size Criteria / Under</li> </ul>	From Apr 2015	

Occupancy. Examples include: Visits to residents at home and at outreach centres, partnership with Family Mosaic established to provide tenancy, financial advice and other support services to residents.

(ii) To undertake monitoring and management of potential increased rent arrears/evictions:

- Rents and Welfare team 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 working with tenants affected by the changes, maximizing income and reducing expenditure and Family Mosaic (partner) to providing tenancy, financial advice and other supporting services to resident.
- Eviction & Prevention Panel tracking all evictions in the social sector resulting from the welfare reform and Head of Service undertaking evaluations to inform judgements on whether to proceed with the eviction process.

(iii) Cap on Housing Benefit, Size Criteria (Including exclusion from entitlement to larger property than household requirement):

- Housing Solutions teams provide assistance to tenants affected by the cap on housing benefit..
- Welfare Coordinator appointed Jan 2015 to oversee the implementation of the next phase of Universal Credit in Thurrock:
  - o Minimizing disruptions leading to service users being detrimentally affected by such changes.
  - o The development of a multi-agency approach strategy.
  - o Creating closer inter-departmental working relationships and with key stakeholders such as DWP and HRMC (DPA agreed and in place since March 2016).
  - o DPA endeavours to provide relevant services to vulnerable claimants, and those who require it. This plan is predominantly funded by DWP to facilitate the process of claims being made online.
  - o Learning from best practices and other pilot schemes, for example different options with wider implications are currently being considered such as:
    - Arranging for assistance in paying Council Tax when required.
    - Exploring options for providing debt advice.
    - Encouraging claimants to open bank accounts, and working with banks to provide such options.
    - All major local banks now offer a basic account for people receiving benefits

<b>Target Risk Rating</b>	Target Date:	31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	

### **Rationale for Applying High (Red) Target Rating:**

The Welfare Reform Act 2012 and the Local Government Finance Act 2012 have resulted in major changes to the welfare scheme. Both Acts have introduced significant reforms to the current system that have a direct impact on Council services and the Council's Welfare Reform Group are regularly monitoring the impact of the changes and actions to address the position. The July's budget's announcement indicated further changes to the welfare system which are likely to put additional pressures on the Local Authority services and resources, these include:

Changes	Mitigation
1. 1% reduction in social rent for the next four years, this is the equivalent of 8% over the duration (on the basis of needing to reduce social rent by 1%, and not receiving the 1% on top of Consumer Price Index).	To be confirmed. Awaiting further information to enable the position to be evaluated.
2. Market value rent for social tenants households earning £30,000 per year or more	To be confirmed when system for the evaluation of earnings established.
3. As of April 2017 the Benefit Cap for families in Thurrock will be reduced from £26,000 to £20,000. And to £13,400 for single claimants.	Continue to work closely with DWP to support adults to return to work via apprenticeships, training schemes, and other initiatives.
4. From April 2017 Eighteen to Twenty-one years old applicants will not be eligible for Housing Benefit (only vulnerable applicants would be entitled to the benefits).	Continue to work closely with DWP and relevant agencies to support young adults obtaining work via apprenticeships, training schemes, and other initiatives.
5. Working age benefit will be frozen for four years from April 2017.	Developing an advisory service to sign-post and assist affected households with budgeting, accessing alternative resources...etc.
6. Reduction of income threshold for tax credits from £6,420 to £3,850 from April 2016 (Earning will reduce benefits considerably earlier).	To be confirmed but likely that appropriate advisory service will be provided
7. ESA applicants categorized within the work related activity component will no longer be eligible to receive the additional £30 per week increment from April 2017.	Ensuring households affected are made aware of the changes, and supported.
8. Entitlement to Child Tax Credit will be restricted to two children only from April 2017.	Assisting households with budgeting.
9. Backdating of Housing Benefits will be restricted to maximum statutory period of one month only.	Ensuring all affected households are contacted and provided with support at early stages.
10. As of April 2017 parents will only be able to claim income support up to the child's age of three.	Developing an advisory service to sign-post and assist affected households with budgeting, accessing alternative resources...etc.

The reforms and impact of the changes will not be alleviated in the short term. A target date of 31/03/16 has been applied to the risk, which is the time when the documentation will be fully reviewed, refreshed and updated to reflect the changes to the reforms and the risk. At this time it is predicted that the risk will remain at the higher (red) level and a target rating of Critical/Likely applied.

INHERENT RISK

Risk Description		Risk Owner						
Failure to manage the increases in demand and budget/ resource pressures for Children's Social Care could lead to a breakdown in the quality or performance of the service provided to vulnerable children and results in less favourable outcomes from inspection and damage to reputation of the service does meet the required standards		Andrew Carter						
Link to Corporate Priority								
<ul style="list-style-type: none"> <li>- Create a great place for learning and opportunity</li> <li>- Improve health and wellbeing</li> </ul>								
Inherent Risk Rating	Date:	17/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 17/04/2015	Residual Risk Rating as at: 17/04/2015	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016

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 as inspection has not yet taken place. The pressures outlined throughout the 2014/15 year remain acute. They include increased volumes, increased complexity and ongoing activity to review high cost placements. The implementation of the early help service model and the Thurrock multi-agency safeguarding hub (MASH) has been successful although as anticipated it has led to an increase in the volume of work to children's social care, this is ongoing. The service continues to maximize the external investment and opportunities presented through the Troubled Families Programme and continuously measures impact of the MASH. Ongoing savings to be made across Children's Services including from the Children's Social care budget will be risk assessed to mitigate the impact on front line services.



EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Quality Assurance and Safeguarding functions are in place and robustly applied. Functions extended to include the establishment of Quality and improvement Group.								2014/15 and Ongoing
2. Project management of the inspection process is in place with trial runs completed to ensure that the data required by Ofsted is accurate and provided in a timely manner.								November onwards
3. A review of all policies has taken places to ensure that they have been updated and staff								Nov2014 – March 2015
4. Joint delivery of the 'Early Offer of Help Strategy' and associated services are now embedded 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 and ensure that the 'step down and step up' processes are robustly managed.								From Apr 2012
5. Internal quality assurance audits to evidence appropriate application of thresholds.								From Sept 2012
6. Ongoing data analysis to enable us to benchmark and target areas for improvement								From Apr 2014
7. Placement Review – an external reviews of high cost placements.								From Apr 2013
Residual Risk Rating	Date:	17/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
8. Ongoing implementation and/or application of actions 1 - 7 above.			From Apr 2015					
Target Risk Rating	Target Date:	Refresh 31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

**Rationale for Applying High (Red) Target Rating:**

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 as inspection has not yet taken place. The pressures outlined throughout the 2014/15 year remain acute. They include increased volumes, increased complexity and ongoing activity to review high cost placements. The implementation of the early help service model and the Thurrock multi-agency safeguarding hub (MASH) has been successful although as anticipated it has led to an increase in the volume of work to children's social care, this is ongoing. The service continues to maximize the external investment and opportunities presented through the Troubled Families Programme and continuously measures impact of the MASH. Ongoing savings to be made across Children's Services including from the Children's Social care budget will be risk assessed to mitigate the impact on front line services.

The service has to be demand and needs lead and cannot fail to respond to the needs of a child due to budget or resource constraints. Changes on a local, regional and national level can have a significant impact on the demand for services. War and international factors can result in an unplanned increase in the number of unaccompanied asylum seeking children or families with no recourse to public funds. Geographical movement of families across the Eastern Region and London can see a rise in families needing services, including large sibling groups. An incident of civil disorder could result in more young people being placed in custody and a resulting increase in remand costs to the local authority.

The level and complexity of some children and young people's needs and the lack of available national resources (specialist placements) to meet those needs is driving up cost pressures. As the Council continues to improve practice regarding the identification and tackling of Child Sexual Exploitation there is an increase in demand for service provision in terms of intervention; prevention and victim support. Current and new duties in terms of radicalization also place pressures on the service in terms of workforce capacity. Trends can be predicted based on previous levels of demand but these are subject to variance.

The pressures outlined above will not be alleviated in the short term and the risk rating will remain at the higher (red) level for the period covered. A target date of 31/03/16 has been applied to the risk, which is the time when the documentation will be fully reviewed, refreshed and updated.

INHERENT RISK

Risk Description								Risk Owner	
Failure to ensure that all children and young people in need of help or protection are safeguarded and supported could result in them not achieving their full potential and increasing the risk of a child death or serious injury.								Andrew Carter	
Link to Corporate Priority									
<ul style="list-style-type: none"> <li>- Build pride, responsibility and respect</li> <li>- Create a great place for learning and opportunity</li> <li>- Improve health and wellbeing</li> </ul>									
Inherent Risk Rating		Date:	17/04/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 17/04/2015	Residual Risk Rating as at: 17/04/2015	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016

Comments
<p>The nature of the work in terms of safeguarding and supporting children at risk of harm means that this will always be a high risk area although through the application of the SET Child Protection procedures the department actively works to mitigate this risk and reduce the likelihood.</p> <p>The introduction of the Multi Agency Safeguarding Hub and Early Offer of Help has supported earlier identification of risk through a multi-agency approach enabling the department to work to intervene at an earlier stage and reduce the risk of harm in some cases.</p> <p>The impact for individual children and families, particularly in cases of child death is significant and whilst actions to reduce the likelihood are implemented the impact will remain as critical.</p> <p>There is also a critical impact score in terms of reputational damage should a child death or serious injury occur.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
1. Southend, Essex & Thurrock Child Protection procedures established and reviewed March 2015 2. Local Safeguarding Children's Board established, progress reported annually and guidance reviewed March 2015 3. Quality assurance and safeguarding function of Children's Social Care established 4. Legal framework and court action 5. Thurrock Multi Agency Safeguarding Hub introduced Sept 2014 and services commissioned as part of the Early Offer of Help Strategy  6. Case Audits 7. Quality assurance framework							Ongoing Ongoing Ongoing Ongoing From Sept 2014 Ongoing Ongoing	
Residual Risk Rating	Date:	17/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
8. Ongoing implementation and/or application of actions 1 - 7 above.		From Apr 2015						
Target Risk Rating	Target Date:	Refresh 31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

**Rationale for Applying High (Red) Target Rating:**

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

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

The introduction of the Multi Agency Safeguarding Hub and Early Offer of Help has supported earlier identification of risk through a multi-agency approach enabling the department to work to intervene at an earlier stage and reduce the risk of harm in some cases.

The impact for individual children and families, particularly in cases of child death is significant and whilst actions to reduce the likelihood are implemented the impact will remain as critical. There is also a critical impact score in terms of reputational damage should a child death or serious injury occur.

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

Within the context of this work we have a high level and critical risk that is being proactively managed. The management of the risk across partner agencies is reducing the likelihood of such risk, where the potential for such risks are known but cannot reduce the potential magnitude for the child in incidents such as child death or permanent disability. The unknown element of risk for families not known to the service means that overall the likelihood remains high. Families are also not static and risk is a constant changing variable within known families.

The risk rating therefore remains as a constant throughout the period covered. A target date of 31/03/16 has been applied to the risk, which is the time when the documentation will be fully reviewed, refreshed and updated.

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
Since 1 <sup>st</sup> April 2015 Emergency Planning no longer undertakes Business Continuity on behalf of all Council functions. That responsibility has transferred to local managers. Failure of the Council and/or local managers to coordinate and maintain Business Continuity Planning would lead to the business continuity management arrangements across the Council becoming inconsistent, outdated and ineffective in times of a disruption affecting Thurrock							David Bull Directors Board		
Link to Corporate Priority									
A well-run organisation.									
Inherent Risk Rating		Date:	20/03/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 20/03/2015	Residual Risk Rating as at: 20/03/2015	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Target Risk Rating & Target Date: 30/09/2015

Comments
<p>The Council has recently undergone some significant change and reshaping (e.g. restructures, office moves, remote working, closing of Culver Centre, etc) and a total refresh of business continuity arrangements needed to update plans. As of 31<sup>st</sup> March 2015 Business Continuity will no longer be the responsibility of the Emergency Planning Team and will sit with service managers, this will mean no central coordination of Business Continuity. It is also important to highlight that Business Continuity is a Statutory Duty for Local Authorities under the Civil Contingencies Act 2004. Business Continuity Planning and Disaster Recovery Support Group to be established to coordinate a review of Business Continuity Plans across the Council.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Review of Business Continuity Plans – Exercise undertaken between April and October 2014. 75% of BCPs reviewed and returned to Public Protection	Apr - Oct 2014
2. Programme for the development and implementation of critical incident plans for schools commenced March 2014. BC team working with Education Department the development and implementation of critical incident plans for schools to ensure that Thurrock Schools are resilient in their operation.	Ongoing from March
3. Programme of BC Exercises commenced of critical functions and services. Five reviews of service BCPs undertaken between April to October 2014, with consideration given to Third Party suppliers and their BC arrangements. Further BC exercise of Highways & Transportation function undertaken in December 2014.	Apr - Dec 2014
4. Further review of Business Continuity Plans commissioned Feb 2015 to update plans to take into account office moves, restructures, closure of the Culver Centre, etc. As at 20/03/2015 only four updated plans submitted to the Emergency Planning Team.	From Feb 2015
5. BC Review of Team function – Review of BC team undertaken. Decision taken to transfer the BC function from the Emergency Planning Team to Service Managers with effect from 1 <sup>st</sup> April, 2015.	Dec 2014 - March 2015
<b>Residual Risk Rating</b>	Date: 20/03/2015 Impact: Critical (4) Likelihood: Likely (3) Rating: 12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
6. Continue review of Business Continuity Plans (commenced Feb 2015) to update plans to take into account office moves, restructures, etc	From April 2015	
7. Directors Board to consider the position and way forward.	From April 2015	
8. Director of Planning and Transportation to commission review of Public Protection (including Business Continuity Planning function)	From May 2015	
9. Establish BCP/DR Support Group	June 2015	
10. Approach for the review of Business Impact Analysis, Business Continuity Plans to be developed by the BCP/DR Support Group	June 2015	
11. Approach for the review of BIAs/BCPs to be introduced to Directors Board	June 2015	
12. Individual Council services to: <ul style="list-style-type: none"> <li>• Review and update BIAs and BCPs</li> <li>• Identify their current applications in use and services delivered from their BIA reports and BCPs along with:                             <ul style="list-style-type: none"> <li>(a). The Recovery Point Objective (RPO = the maximum point in</li> </ul> </li> </ul>	July 2015	

time they can roll back to in the event of data loss) (b). The Recovery Time Objective (RTO = the maximum time sustainable to reach the RPO).								
13. BCP/DR Support Group to review/check feedback from each Service to ensure returns complete and realistic.			Aug 2015					
14. Review to consider the position and ongoing approach/support function for BCP.			Sept 2015					
<b>Target Risk Rating</b>	Target Date:	Refresh 30/09/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	

**Rationale for Applying High (Red) Target Rating:**

With effect from the 1<sup>st</sup> April 2015 the responsibility for Business Continuity transferred from the Emergency Planning Team to local managers and the risk evaluates the position if business continuity plans are not coordinated and maintained, which would lead to business continuity planning arrangements across the Council becoming inconsistent, outdated and ineffective in times of a disruption affecting the authority.

A business continuity support group has been established and is currently working with the Digital Board and Directorates to ascertain the current status of Business Continuity Plans for the departments.

The risk is expected to remain at the higher level until assurance is obtained that the business continuity plans for the critical functions identified are adequate and effective.

A review to consider the position and ongoing support function for Business Continuity Planning is scheduled for September 2015