

Strategic/Corporate Risk & Opportunity Register October 2015 (In Quarter 3 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		
<p>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.</p>							Les Billingham		
Link to Corporate Priority									
Priority – Build pride, responsibility and respect; Improve health and wellbeing									
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: 01/07/2015	Residual Risk Rating as at: 30/10/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016																																																																																																																												
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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). 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. The impact of the application of the living wage, a recent ruling regarding paying staff for travel time and the forthcoming Comprehensive Spending Review is highly likely to see the residual risk rating increasing in the next couple of quarters. One of the Council's domiciliary care providers has recently given notice on their contract, citing an inability to continue to provide a service on the current contracted rate. Pressure on the provider market is acute and one of, if not the most significant risk to the Council being able to meet demand for care.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Comprehensive compliance monitoring and audit process in place								2013-14
2. 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.								2013-14
3. Develop a comprehensive accommodation based programme to deliver choice and quality in the local market								From 2013
4. Compliance with the Care Act regarding market failure and service interruption								From April 15
5. Provision of increase (1% plus 1% for performance) for OP Residential providers								From April 15
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						
6. As part of Care Act implementation plan prepare for statutory services to intervene in the event of provider failure	From April 2015	Arrangements being discussed include the possibility of building in-house capacity. Homecare market is under extreme pressure at the moment. Corrective action has been taken, but the situation is likely to get worse.						
7. Agree new process for agreeing emergency home care packages to ensure consistency of approach to respond to unprecedented market pressure	During 15/16	To be progressed during 15-16						
8. Agree funding increase for specific home care packages to ensure market failure of current providers is avoided.	Ongoing	Additional payments made and further payments planned.						
9. Bring forward the procurement exercise for Domiciliary Care as a result of Sanctuary Housing giving notice on their contract		Developing specification						
Target Risk Rating	Target Date:	31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	30/10/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

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); Implementation of the Better Care Fund Adult Transformation Programme <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, but integration continues to be a significant challenge. As such, the Directorate has also established its own Adults Transformation Programme so that work does not stall whilst an agreed programme of work with health is progressed. Failure of the programmes to achieve their 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>	<p>Roger Harris</p>

Link to Corporate Priority

Improve Health and Wellbeing, and Build Pride, Responsibility and Respect

Inherent Risk Rating	Date:	15/04/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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DASHBOARD

Inherent Risk Rating & Date: 15/04/2015	Residual Risk Rating as at: 15/04/2015	Residual Risk Rating as at: 01/07/2015	Residual Risk Rating as at: 29/10/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016

Comments
<p>Programme management of this major legislative change would, in any normal year, become the major focus for the directorate. However we currently have to programme manage and deliver a number complex and wide ranging programmes of work. There are also difficulties to overcome if we are to progress integration with health, this includes current pressures on the Essex-wide health economy and how decisions made by non-Thurrock parts of the Essex-wide system will impact upon what Thurrock wants and needs to achieve. 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.</p>

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 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 the BCF S75 agreement.	By Apr 2015
6. Establishment of an Adults Transformation Programme	Agreed June 15
Residual Risk Rating	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
7. Continue programme arrangements	April 2015	Programme arrangements in place
8. Develop work programme for the Integrated Commissioning Executive	May 2015	Work programme in place for the ICE
9. Agree health and care system case for change – as set out within Direction of Travel document	May 2015 February 2016	Case for Change not yet agreed and requires progressing – some slippage, and will be progressed as part of refreshed BCF 16/17 and refresh of the Health and Wellbeing Strategy.
10. Develop work streams and work stream plans underpinning agreed case for change	May/June 2015 February 2016	As part of development of BCF for 2016/17
11. Development of BCF Section 75 agreement for 16/17	February 2016	Confirmation received that there will now be a BCF for 2016/17, but guidance is unlikely to be released until Christmas time. Thoughts on how the BCF should be developed for 16/17 will be agreed via the Integrated Commissioning Executive.

12. Development of Adult Transformation Programme			From July 15		PID agreed and projects will be taken forwards following the outcome of the current Adult Social Care consultation exercise which is due to conclude in December.			
13. Development of public facing document that sets out the Direction of Travel for health and social care integration and transformation			July 2015 Mar/Apr 2016		Document will follow the development of the HWB Strategy which will be signed of in March 2016.			
Target Risk Rating	Target Date:	31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	29/10/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

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) – Further possible changes may take place post general election, which could include: <ul style="list-style-type: none"> o Reduction to the total amount of benefits a household is entitled to (Benefit Cap). o Taxing Disability Living Allowance, Personal Independence Payment, and Attendance Allowance. o Reviewing contribution-based Employment Support Allowance, Jobseekers Allowance, and work-related activity group for ESA. o Reviewing the entitlement threshold to carers' allowance and Housing Benefit. o Limiting Child benefits to a number of children. <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 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. 	Roger Harris								
Link to Corporate Priority									
Build Pride, Responsibility and Respect									
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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: 26/06/2015	Residual Risk Rating as at: 26/10/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016																																																																																																																								
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Comments
<p>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. Progress against the specific areas include:</p> <ul style="list-style-type: none"> • 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. • 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; • The benefit cap only affected a very small number of people and has had minimal impact; • 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. • 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. • 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. • 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 & 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. • A Delivery Partnership Agreement (DPA) was signed by Thurrock Council and the DWP, taking effect from the 16th of March 2015 <p>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:</p>

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 2016 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 2016.	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. From April 2016	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 the 31/03/16 it is predicted that the risk will remain at the higher (red) level and a target rating of Critical/Likely applied.

EXISTING ACTION / RESIDUAL RISK

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

<p>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:</p> <ul style="list-style-type: none"> - DWP to provide reasonable support to the Authority to support the development and implementation of local service provisions (providing Data, guidance, products...etc.). - Monitor the impact and take appropriate actions. - 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. - Providing support to claimants to go online and stay on line. - Processing Local Council Tax Reduction Scheme. - Supporting claimants with complex needs (e.g. support with personal budgeting) - Working with Universal Credit Programme to inform and assist Landlords' through the current and prospective changes. <p>8. Housing Service:</p> <p>(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.</p> <p>(ii) Undertake monitoring and management of potential increased rent arrears/evictions:</p> <ul style="list-style-type: none"> - 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. <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"> - 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: <ul style="list-style-type: none"> 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. <p>(iv) Homelessness and Temporary Accommodation – Thurrock Private Housing Sector team working with private landlords to promote to maintain standards, and to make affordable properties available for letting.</p>	From Mar 2015						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
<p>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.</p>	<p>From Apr 2015</p>	<p>Ongoing, currently evaluating ramifications of July's budget 2015, the next work tasks will address these issues in particular:</p> <ul style="list-style-type: none"> • Benefit Cap reduction from £26,000 to £20,000 (from April 2016) • Freezing of income based benefit (From April 2016 including HB and Tax Credit) • Reduction of Social Housing rent • Reduction of income threshold for Tax Credit, and restriction of eligibility for the first two children (from April 2016) • The consideration for Pay to Stay • Restrictions on backdating HB to maximum of one month.(From April 2016) • Restrictions of HB for band age 18-21, and Income Support stopping at three rather than five years old (From April 2017). • Abolition of work related activity component of ESA.(From April 2017)
<p>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.</p>	<p>From Apr 2015</p>	<p>Ongoing, in Thurrock 626 single claimants are currently affected by UC; this group of claimants is being supported by the Financial Inclusion Officers who provide them with support and advice. This element of the risk could escalate the overall risk when universal credit system is extended to include family households.</p>
<p>11. Continued implementation of the Delivery Partnership Agreement (DPA) by Thurrock Council and the DWP.</p> <p>Agreement includes:</p> <ul style="list-style-type: none"> – DWP to provide reasonable support to the Authority to support the development and implementation of local service provisions (providing Data, guidance, products...etc.). – Monitor the impact and take appropriate actions. – 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. – Providing support to claimants to go online and stay on line. – Processing Local Council Tax Reduction Scheme. – Supporting claimants with complex needs (e.g. support with personal budgeting) – Working with Universal Credit Programme to inform and assist Landlords' through the current and prospective changes. 	<p>From Apr 2015</p>	<p>Ongoing, agreement implemented in June 2015, and initial feedback suggests that the process is working well and delivering the set goals and objectives.</p> <p>A more comprehensive assessment will be made in the coming months to evaluate the progress of this initiative.</p>

<p>12. Housing Service to continue:</p> <p>(i) To 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.</p> <p>(ii) To undertake monitoring and management of potential increased rent arrears/evictions:</p> <ul style="list-style-type: none"> - 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. <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"> - 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: 	<p>From Apr 2015</p>	<p>Ongoing, In order to meet and mitigate challenges resulting from welfare reforms a Cohort of Council Officers (Homeless Officers, Call Centre, Volunteers...etc) were recently trained to deal with Universal Credit and Housing Benefits related issues , and on Thurrock Choice Homes. This approach aims to prepare and empower officers in supporting tenants and claimants</p> <p>Ongoing, regular monitoring of rent arrears and payments trends is currently done on monthly basis, and contact is made with tenants at risk of eviction or falling behind with their rents.</p> <p>Ongoing, whilst Financial Inclusion Officers continue to support households in need, often entitlements and delays in payments of benefits are leading to an increase in the referrals and use of food-banks is observed.</p> <p>Ongoing, there is an increase in the number of evictions that are primarily due to private landlords ending tenancies, and rent arrears within the social housing sector.</p> <p>Rent officers have increased their level of support (including visits and referrals to specialists).</p> <p>Homeless prevention officers are trying to address these issues by introducing different initiatives such as the enhanced incentive offer to private landlords.</p> <p>Ongoing, Financial Inclusion officers continue to provide support to Homeless and at risk of homelessness households along with council tenants in partnership with Family Mosaic. This support aims to make rental in the private sector more affordable, via assessing household's affordability of the private market, if not considering alternative options such as Social Housing.</p> <p>On-going. Currently about 626 households are affected by Universal Credit, the Housing Financial Inclusion Officer will endeavour to engage with all these households to provide a personal budgeting support.</p> <p>Recently announced changes in the summer budgets are likely to affect current and prospective claimants, in particular concerning:</p>
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<ul style="list-style-type: none"> ○ Minimizing disruptions leading to service users being detrimentally affected by such changes. ○ The development of a multi-agency approach strategy. ○ Creating closer inter-departmental working relationships and with key stakeholders such as DWP and HRMC (DPA agreed and in place since March 2016). ○ 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. ○ Learning from best practices and other pilot schemes, for example different options with wider implications are currently being considered such as: <ul style="list-style-type: none"> – 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 <p>(iv) Re-assessment of strategic priorities</p>		<p>Benefit Cap: Financial Inclusion Officers will work with affected households on personal budgeting, so to address the incoming benefits cap reduction from £26,000 to £20,000</p> <p>A national lobbying campaign led by Housing Associations is currently undergoing to mitigate risk of restricting the backdating HB to maximum of one month, in particular around vulnerable applicants.</p> <p>Services are currently assessing the potential impacts of changes announced in the summer budget, and awaiting further details on actual range of changes announced and time scales.</p>						
Target Risk Rating	Target Date:	31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	26/10/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

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 2015/16.							Sean Clark / Directors Board	
Link to Corporate Priority								
A well run organisation								
Inherent Risk Rating	Date:	24/03/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 24/03/2015	Residual Risk Rating as at: 24/03/2015	Residual Risk Rating as at: 18/06/2015	Residual Risk Rating as at: 07/10/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 28/02/2016

Comments
Regular budget updates provided to Cabinet via Directors Board. 2015/16 budget pressures arising from targeted savings from Terms and Conditions and Serco; Shortfall in Shared Service Recharges; Environmental Services; Impact of Sita recycling arrangements and Shortfall in the ability to meet Public Health In-year Reduction identified. Further pressures recognised within Children's and Housing Services. Officers are currently working to reduce where possible the impact on the MTFS. Updates and action to address financial pressures to be presented and agreed by Cabinet November and December 2015.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
1. Budget pressures and differences for 2014/15 identified and appropriate action undertaken to balance the budget position with no call on reserves.							Feb 2015	
2. 2015/16 General Fund Budget and MTFS established and agree by Council Feb 2015							Feb 2015	
3. Monthly reports to Directors Board and regular reports to Cabinet on MTFS/Budget position. First high level report presented verbally.							Apr 2015 onwards	
4. Method for allocating any additional savings targets to meet unachieved savings in terms/conditions and Serco proposals developed and agreed. Figures being finalised.							By Apr 2015	
Residual Risk Rating	Date:	24/03/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
5. Ongoing monthly reports to Directors Board and regular reports to Cabinet on MTFS/Budget position.		From Apr 2015	5, 6 & 7. Regular budget update reports presented to Cabinet, via Directors Board. Potential financial pressures for 2015/16 identified and officers currently working to reduce where possible the impact on the MTFS. Updates and action to address pressures to be presented and agreed by Cabinet November and December 2015.					
6. Additional savings targets to be allocated to meet unachieved savings in terms and conditions and Serco proposals		From Apr 2015						
7. Develop and agree 2015/16 in year savings proposals		Jul - Dec 2015						
Target Risk Rating	Target Date:	28/02/2016	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6
Revised Residual Risk Rating	Date:	07/10/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
<p>The Council faces significant budget pressures due to significant funding reductions from central government and increasing demand in services. These budget pressures remain and the Council is now concentrating on the period 2016/17 through to 2019/20</p> <p>Failure to develop plans to set and maintain a balanced budget and to deliver the associated savings for the period 2016/17 to 2019/20 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 worst case, an ultra vires deficit budget position.</p>							Sean Clark / Directors Board	
Link to Corporate Priority								
A well run organisation								
Inherent Risk Rating	Date:	25/03/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 25/03/2015	Residual Risk Rating as at: 25/03/2015	Residual Risk Rating as at: 18/06/2015	Residual Risk Rating as at: 07/10/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 28/02/2016

Comments
<p>Cabinet in July 2015 agreed a robust approach to consider the future shape of the Council and budget planning process to address the budget reductions and demand pressures facing the Council. The MTFS (as at October 2015 Cabinet report) shows a projected deficit for the period 2016/17 to 2019/20 of £28.4m of which £3.4m relates to 2016/17 and options to address the 2016/17 pressures are to be presented in the Autumn 2015 for Members consideration.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. MTFS established and reported to Council February 2015. Balanced budget for 2015/16 agreed and forecast for the financial years 2016/17 through to 2018/19 (including budget deficits) noted.								Feb 2015
2. Commence reviews to challenge and determine the future shape and delivery of services for 2016/17 and beyond. Strategy Week undertaken and a number of actions to be completed.								From Mar 2015
Residual Risk Rating	Date:	25/03/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
3. Regular reports to Cabinet, via Directors Board on MTFS and budget position.	From June 2015	3. MTFS (as at October 2015 Cabinet) showing a projected deficit for the period 2016/17 to 2019/20 of £28.4m of which £3.4m relates to 2016/17. Directors Board to work with Cabinet Members on proposals to address the deficit						
4. Continue reviews to challenge and determine the future shape and delivery of services for 2016/17 and beyond.	From Apr 2015	4&5. Cabinet July 2015 endorsed the approach to shaping the council and the budget planning process based on discussions in Strategy Week, held in March and June 2015, which focused on the budget reductions and demand pressures impacting on the Council's financial position. A Shaping the council work programme to be developed & to be fed into the budget setting process where strategic solutions will be identified as potential savings opportunities						
5. Develop and implement a strategic approach to shaping the Council	From Apr 2015							
6. Establishment of a Budget Review Panel	July - Oct 2015	6. Cross party budget review panel established to support the review of services and how they are resourced. Officers to identify and cost out potential efficiencies and any associated risks to service delivery. Information from Panel sessions to feed into the development of the budget planning process.						
7. Undertake consultation and engagement with all stakeholders on potential strategic solutions and changes to levels of service.	Sept 2015 - Jan 2016	7. Approach for the communication and engagement with residents, stakeholders, staff and members under development as part of the Shaping the Council Programme.						
8. Cabinet to consider 2016/17 approach and savings	Nov 2015 - Jan 2016	8. November Cabinet report to set out 2016/17 approach.						
9. Cabinet recommend 2016/17 budget to Council	Feb 2016							
Target Risk Rating	Target Date:	28/02/2016	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:	07/10/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
Complex and costly land acquisition including potential use of Compulsory Purchase Order (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									
Encourage and promote job creation and economic prosperity									
Inherent Risk Rating		Date:	31/03/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 31/03/2015	Residual Risk Rating as at: 31/03/2015	Residual Risk Rating as at: 30/06/2015	Residual Risk Rating as at: 24/11/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016																																																																																																																																																						
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Comments
The Council appointed the 'Purfleet Centre Regeneration Limited' consortium as its development partner for the Purfleet Centre project in March 2014. Since that point the Council has been working with PCRL to secure the funding needed for the scheme and develop more detailed proposals with a view to seeking planning consent later in 2015. The programme has slipped as efforts to secure the funding have continued. Cabinet received a report in October 2015 and approved the finalised commercial terms. It is anticipated that the council will enter into contracts by the end of the calendar year. In the meantime, the risk rating remains 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. Negotiation 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								May 2013
4. Development of the programme for the delivery of the project by the Council and developer								From Apr 2014
5. Engagement and consultation with stakeholders								From Apr 2014
Residual Risk Rating	Date:	31/03/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
Ongoing work between the Council and developer to formulate the programme for the delivery of the project, including: 6. Finalise the development agreement 7. Secure funding 8. Review of design work for planning applications 9. Secure sites to complete land assembly 10. Ongoing engagement/consultation with stakeholders		From Apr 2015	6-10 Ongoing. Following approval of the finalised commercial terms by Cabinet in October 2015 the actions under 8,9,& 10 will be completed over the next 12 months.					
Target Risk Rating	Target Date:	31/03/2016	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:	24/11/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

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								
- Create a great place for learning and opportunity - Improve health and wellbeing								
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: 06/07/2015	Residual Risk Rating as at: 30/10/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016																																																																																																																								
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Comments
<p>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.</p> <p>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.</p>

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.

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 2015 onwards
3. Trix Policies and Procedures have been introduced across Children's Social care								Completed
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	<ol style="list-style-type: none"> 1. 2015/16 and ongoing. 2. 01/04/2015 onwards. 3. Tri-x Policies and Procedures have been commissioned and will be automatically updated in-line with contract. Local procedures continue to be reviewed and updated where there is a need for a local procedure in addition to those provided by Tri-X 4. From Sept 2012 onwards. 5. From Apr 2014 onwards. 6. From Apr 2013. 7. Ongoing.

9. Undertake CSE Peer Review and multi-agency audits.			From Apr 2015		CSE Peer Review completed with Southend and multi-agency audits undertaken with LSCB			
Target Risk Rating	Target Date:	Refresh 31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	30/10/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

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"> - Build pride, responsibility and respect - Create a great place for learning and opportunity - Improve health and wellbeing 								
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: 06/07/2015	Residual Risk Rating as at: 30/10/2015	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 S.E.T (Southend, Essex & Thurrock) Child Protection procedures the department actively works to mitigate this risk and reduce the likelihood.</p> <p>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.</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. There is also a critical impact score in terms of reputational damage should a child death or serious injury occur.</p>

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.

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								Completed March 2015
2. Local Safeguarding Children's Board established, progress reported annually and guidance reviewed March 2015								Completed
3. Quality assurance and safeguarding function of Children's Social Care established								Completed
4. Legal framework and court action								Ongoing
5. Thurrock Multi Agency Safeguarding Hub introduced Sept 2014 and services commissioned as part of the Early Offer of Help Strategy								From Sept 2014
6. Case Audits								Ongoing
7. Quality assurance framework								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 4 - 7 above.			From Apr 2015	4. Ongoing 5. Ongoing 6. Ongoing 7. Ongoing				
Target Risk Rating	Target Date:	Refresh 31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	30/10/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Since 1 st 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	
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: 29/06/2015	Residual Risk Rating as at: 01/10/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 30/09/2015 31/03/2016

Comments
<p>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.</p> <p>With effect from the 1st April 2015 the responsibility for Business Continuity transferred from the Emergency Planning Team to local managers. The Council has recently undergone some significant change and reshaping with restructures, office moves, remote working, closing of the Culver Centre and further changes are in train (e.g. transfer back to the council of ICT and other services from Serco). A Business Continuity Planning (BCP) and Disaster Recovery (DR) Group has been formed to lead a review of the Business Impact Analysis (BIA) and BCP approach with a view to leverage this information to drive forward an appropriate fit for purpose ICT DR plan for the Council. The approach for the review has been developed and is due to be discussed at the BCP & DR Group meeting 12/10/15.</p> <p>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. This</p>

will not be achieved in the short term. A target date of 31/03/16 and target rating of Critical/Likely has therefore been applied to the risk, which is when the documentation will be fully reviewed, refreshed and updated to reflect the changes to the situation. An assessment to consider the ongoing approach/support function for BCP will also be undertaken.

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 st April, 2015.								Dec 2014 - March 2015
Residual Risk Rating	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	7 & 8 – Position considered by Directors Board and Director of Planning and Transportation. Service areas responsible for the updating of Business Continuity Plans. Due to savings the coordination function of BCP will no longer be provided by Emergency Planning team.
8. Director of Planning and Transportation to commission review of Public Protection (including Business Continuity Planning function)	From May 2015	
9. Establish BCP & DR Group	June Sept 2015	BCP/DR Support Group established made up of the Corporate Risk Officer, ICT Commercial Manager and Directorate Representatives (with assistance from MI & Data Analyst, Commercial Services).
10. Approach for the review of Business Impact Analysis, Business Continuity Plans to be developed by the BCP & DR Group	June Sept to Oct 2015	Approach for the review of BIA, BCP & ICT DR arrangements drafted and to be discussed at the initial meeting of the BCP/DR Group 06/10/15.

<p>11. Approach for the review of BIAs/BCPs to be introduced to Directors Board.</p> <p>12. Individual Council services to review BIA to identify:</p> <ul style="list-style-type: none"> • Priority services/functions and the time frames for reinstatement. • Priority IT applications and order/speed of restoration including: <ul style="list-style-type: none"> (i). The Recovery Time Objective (RTO = the maximum time sustainable to reach the RPO). (ii). The Recovery Point Objective (RPO = the maximum point in time they can roll back to in the event of data loss) <p>13. Services to update BCP (full business continuity to cope without IT for a number of weeks).</p> <p>14. Services to provide copy of updated BCPs, Priority IT Application information (including RTO & RPO details) to BCP/DR Group</p> <p>15. BCP & DR Group to analyse information, consider any amends required to the Corporate BCP and to identify the options for Disaster Recovery.</p> <p>16. BCP & DR Group to report:</p> <ul style="list-style-type: none"> • Outcome of the review to update BCPs • Options and recommendations for DR to Directors board, via Digital Board and onward report to Standards & Audit Committee. <p>17. The council to implement DR arrangements following agreement of the appropriate solution.</p> <p>18. Services review and update BCPs to reflect the new DR arrangements</p> <p>19. Assessment to consider the position and ongoing approach/support function for BCP</p>	<p>June Sept 2015</p> <p>July By end of Dec 2015</p> <p>Aug By end of Dec 2015</p> <p>By end of Dec 2015</p> <p>Jan to Feb 2016</p> <p>Mar 2016</p> <p>Post Mar 2016</p> <p>Post Mar 2016</p> <p>Sept 2015 Post Mar 2016</p>	<p>Report on Thurrock Council BCP and DR Status presented to Directors Board Sept 2015 and onward reported to Standards & Audit Committee 24/09/15.</p>						
Target Risk Rating	Target Date:	Refresh 30/09/2015 31/03/2016	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	01/10/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
The Council is running at a high risk by not having a fully resilient infrastructure resulting in an inadequate DR capability. Whilst key data is backed up and taken off site regularly, should a major incident affect the primary Data Centre in the Civic Offices, Grays, it would take many weeks to recover key service delivery systems, information and Services from an alternative site. The reputational and financial impact to the Council would be significant							Sean Clark Digital Board		
Link to Corporate Priority									
A well-run organisation.									
Inherent Risk Rating		Date:	06/05/2015	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 06/05/2015	Residual Risk Rating as 06/05/2015	Residual Risk Rating as at: 26/06/2015	Residual Risk Rating as at: 24/11/2015	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/05/2016

Comments
<p>The Council has recently (certainly over the last two years) undergone some significant changes with regards to its delivery of ICT services and culture (e.g. more flexible remote working through the use of VDI and Unified Communications etc.). This is a significant change that will shortly (by August 2015) allow the majority its workforce to flexibly work within any location of the Civic Offices building or remotely at almost any location where they have access to a PC and an Internet connection.</p> <p>However, remote access will not work should there be a catastrophic failure within the Data Centre at Civic Offices rendering either, or all, ICT compute, storage or networking services as inoperable. Such catastrophic failure could be identified as fire, flood, explosion or irrecoverable ICT equipment fault (e.g. loss of power, SAN or core Network).</p> <p>The BCP and DR Support Group has been formed and will lead the way with re-shaping the BCP approach/capabilities with a view to leverage this information to drive forward a fit for purpose DR plan that meets the overall BCP requirements. The coordination of BCP across the Council was previously provided by the Emergency Planning Team but this function ceased on the 1st April 2015 when the responsibility for BCP transferred to service managers.</p> <p>The risk has been re-evaluated on the basis of not having a fully resilient DR Capability and takes into account the recent event of a power failure which affected the ICT server s and resulted in some works to bring the systems back on line. Following the re-evaluation of the risk the overall rating has changed and moves from an 8 to a 12.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
1. An ICT DR plan (v3.1) created by Serco exists but it requires review and updating.							Nov 2014	
Residual Risk Rating	Date:	06/05/2015	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
2. Establish a BCP/DR Support Group.	June Sept 2015	26/06/15 – Complete (Andy Owen & Gary Staples form this group with assistance from Maxine Hazle and Kelly McMillan.						
3. Approach for the review of Business Impact Analysis, Business Continuity Plans to be developed by the BCP/DR Support Group	June Sept 2015	26/06/15 – Initial meeting held on 26/6 to kick off this activity.						
4. Approach for the review of BIAs/BCPs to be introduced to Directors Board	June –Sept 2015	26/06/15 – Outline approach for the review introduced to Directors Board and Directors to provide lead officer contacts for department and/or service areas. Full proposal on way forward to be developed for July DB meeting.						
5. Individual Council Services to identify: (i). Their current Applications in use and Services delivered from their Business Impact Analysis reports and BCP's. (a). The Recovery Point Objective (RPO = the maximum point in 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).	July By end of Dec 2015	Initial meetings were held with Council Service representatives during October 2015 and all have been made aware of the requirements from them.						
6. BCP/DR Support Group to review/check the feedback from each Council Service to ensure returns complete and realistic.	Aug-2015 Jan 2016							
7. ICT options, proposals and costs developed and submitted for Short, Medium and Long term DR scenarios.	End of Oct 2015 Jan to Feb 2016							
8. An appropriate solution is agreed by the Directors Board (via the Digital Board) and the solution procurement process commences.	End of Nov 2015 Jan-Feb 2016							
9. Implementation of DR ICT Technology.	End of Apr 2016							
10. Training of ICT staff and testing of systems commences.	May 2016							
Target Risk Rating	Target Date:	Refresh 31/05/2016	Impact:	Marginal (2)	Likelihood:	Unlikely (2)	Rating:	4
Revised Residual Risk Rating	Date:	24/11/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

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.</p> <p>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.</p> <p>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.</p> <p>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. The initial sites identified for housing development by Gloriana are St Chads, Tilbury and Belmont Road, Grays.</p>								Steve Cox	
Link to Corporate Priority									
<p>Priority: Promote and Protect Our Clean and Green Environment; and Encourage and Promote Job Creation and Economic Prosperity.</p>									
Inherent Opportunity Rating		Date:	17/03/2015	Impact:	Exceptional (4)	Likelihood:	VeryUnlikely(1)	Rating:	4

DASHBOARD

Inherent Opp. Rating & Date: 17/03/2015	Residual Opp. Rating as at: 17/03/2015	Residual Opp. Rating as at: 16/06/2015	Residual Opp. Rating as at: 01/10/2015	Residual Opp. Rating as at:	Target Opp. Rating & Target Date: 31/03/2016																																																																																																
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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. This has proved an effective management and governance process and the first scheme, St Chad's, started on site in July, marking the achievement of the first major milestone for Gloriana.

A general risk register and a specific risk register for this first site showed that some risks had already been mitigated or mitigation/management actions were already in place.

However, scheme development risks would remain as key risks to be managed and mitigated during the construction programme together with demand risk in relation to letting/selling the properties.

One risk has been activated in relation to asbestos found on the site but is being managed currently within risk budget allocations.

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place	Date Implemented							
1. Housing development options considered and progressed by Housing Development Team and housing Development Board.	From Dec 2012							
2. Development and approval of outline Business Case	Dec 2012 - May 2013							
3. Working group established comprising the Director of Housing, S151 Officer, Legal Officers and external advisers.	May 2013							
4. Development and approval of final business case including: Constitution for the company; Governance, delivery, management and operational arrangements; Financial, modelling and risk analysis. A series of gateway approvals for each scheme established and first sites for development identified (e.g. St Chads Tilbury)	May 2013 - Nov 2013							
5. Preparations for the development of St Chads, Tilbury - Gateway 1, 2 and 3 achieved and final Council approval obtained to transfer the site and enter into the construction contract.	From Nov 2013							
6. Preparations for the development of Belmont Road - Gateway 1 and 2 achieved. Designs being prepared and costed prior to submission of planning application and financial viability being undertaken for Gateway 3	From Nov 2013							
Residual Opportunity Rating	Date:	17/03/2015	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16

FURTHER ACTION / TARGET OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action			Implementation Date		Progress				
7. Continue preparations for the development of St Chads, Tilbury.			From Apr 2015		Legal agreements for transfer of land to, and provision of funding for, Gloriana signed together with contract for construction with Willmott Dixon in June and start on site in July.				
8. Continue preparations for the development of Belmont Road, Grays			From Apr 2015		Development of Belmont Road - Gateway 1 and Gateway 2 agreed. Traffic issues to be included in Planning application resolved. Designs to be finalised and costed prior to submission for Planning in November And Gateway 3 in February/March 2016.				
9. Commence development of St Chads, Tilbury and manage and monitor risks during construction period. Initial findings of Asbestos under detailed investigation and removal.					July 2015 achieved Deal with Asbestos within risk allowance budget by November 2015.				
10. Commence development of Belmont Road, Grays					Spring 2016				
Target Opportunity Rating		Target Date:	31/03/2016	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16
Revised Residual Opportunity Rating		Date:	01/10/2015	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16

UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description								Opportunity Owner	
Opportunity to secure significant capital funds through the South East Local Enterprise Partnership's Strategic Economic Plan.								Growth Board (Matthew Essex)	
Link to Corporate Priority									
Encourage and promote job creation and economic prosperity									
Inherent Opportunity Rating		Date:	31/03/2015	Impact:	Exceptional (4)	Likelihood:	Very Unlikely (1)	Rating:	4

DASHBOARD

Inherent Opp. Rating & Date: 31/03/2015	Residual Opp. Rating as at: 31/03/2015	Residual Opp. Rating as at: 30/06/2015	Residual Opp. Rating as at: 24/11/2015	Residual Opp. Rating as at:	Target Opp. Rating & Target Date: 31/03/2016																																																																																																
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Comments
<p>The Council successfully secured around £92.5m through round one of the Local Growth Fund in support of the A13 widening, Stanford-le-Hope/London Gateway access improvements, cycling initiatives and sustainable travel. Further funds have been secured for Purfleet (£5m) in round two.</p> <p>A short list of Thurrock schemes is being developed as part of the Thames Gateway South Essex (TGSE) work under SELEP</p> <p>Further details of future rounds are anticipated shortly. In the meantime the opportunity rating remains the same.</p>

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place							Date Implemented	
1. Thurrock input coordinated through Growth Board to ensure strong strategic ownership and a common approach							Ongoing from 2013	
2. Designate a single point of contact for TGSE through to the LEP to ensure quality control and consistency of message.							2013/14	
3. The initial submission for Strategic Local Growth Fund monies submitted to Government							March 2014	
4. Review, develop plans and undertake negotiations with Government and LEP with regard to Government feedback/announcements on the submission							Apr - Jul 2014	
5. Confirmation received from Government that the Council successfully secured £92.5M through round one of the local growth fund to support of the A13 widening, Stanford-le-Hope/London Gateway access improvements, cycling initiatives and sustainable travel.							Jul 2014	
6. Preparation and submission of round two bid for local growth fund monies to Government. Priorities identified include Purfleet Centre and Lakeside expansion.							Dec 2014	
7. Confirmed by Government that the Council was successful in securing £5M of grant funding for the Purfleet Centre Scheme							Jan 2015	
Residual Opportunity Rating	Date:	31/03/2015	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action		Implementation Date	Progress					
8. Await further details of future rounds of local growth funding		From Apr 2015	Anticipate announcement of new round in Autumn 2015					
9. Review position and develop plans when details of future rounds of local growth funding received.		From Apr 2015	To be determined once announcement is made.					
Target Opportunity Rating	Target Date:	31/03/2016	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16
Revised Residual Opportunity Rating	Date:	24/11/2015	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12