

Strategic/Corporate Risk & Opportunity Register September 2017

In Focus Report

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

Risks In Focus

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
Balancing the cost of care and maintaining minimum quality standards – the risk is that a combination of the following on-going pressures – financial pressures on local authorities (e.g. reduced teams for critical processes such as contract management and monitoring, inability to uplift prices to counter competition for workers and inflationary increases etc.), provider failure/financial stability, significant and continued pressures on hospital A&E and periods of ‘black alert’, market-wide decrease in the 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 basis or minimum standards for service users. Ultimately results in risk to service users’ health, reputational damage to the Council and increased costs in managing escalated care and health needs and council intervention as a result. Neighbouring boroughs where contract monitoring was reduced have experienced care home failures, and 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. 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. The implementation of the National Living Wage from April 2016 has added a further pressure to already stretched resources. Additional monies received by local authorities for Adult Social Care will help to reduce the likelihood of the risk occurring.							Les Billingham	
Link to Corporate Priority								
Improve health and wellbeing								
Inherent Risk Rating	Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 01/04/2017	Residual Risk Rating as at: 01/04/2017	Residual Risk Rating as at 21/09/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

Comments

Thurrock Council has received additional funding for Adult Social Care. Associated conditions for how the funding is used include helping to deliver sustainability for care providers. Whilst this will undoubtedly help to control the risk, it will not mitigate it and therefore the residual and forecast ratings have been evaluated as 12 (Critical/Likely).

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
<div>1. Comprehensive compliance monitoring and audit process in place.</div> <div>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.</div> <div>3. Develop a comprehensive accommodation-based programme to deliver choice and quality in the local market.</div> <div>4. Compliance with the Care Act regarding market failure and service interruption</div> <div>5. Provision of increase (3% plus 1% for performance) for OP residential providers</div> <div>6. Bring back in-house domiciliary care packages of failed providers</div> <div>7. Identify alternatives to existing model of domiciliary care provision as part of the Adult Social Care Transformation Programme</div> <div>8. Use of additional ASC monies to help provide market stability</div> <div>9. Improvement action plan delivered relating to CQC inspection of in-house domiciliary care provision</div>								2013/14
								2013/14
								From 2013
								From Apr 2015
								From Apr 2017
								From 2015
								From 2016
								From 2017
								By 2017
Residual Risk Rating	Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
10. Development of specification and tender for domiciliary care contract – 'Living Well at Home'		By July 2017	Tender has been issued and provider interviews will take place in early October with the new contract starting in April 2018. The specification has been developed to incorporate the principles of 'living well at home'.					
11. Implementation of 3% increase on fees paid to care home providers for older people with a 1% performance enhancement for any of these providers obtaining an excellent rating following their contract compliance visit		April 2017	Paid to Thurrock care home providers for older people.					
12. Development and implementation of Enhanced Care Homes 'offer'		Throughout 2017	To be developed – including bid for funding via Skills4Care					
13. Continued work to manage demand via the ASC Transformation Programme and Better Care Fund Plan		Throughout 2017/18	(see Health and Social Care Transformation risk for update)					
14. Use of Improved Better Care Fund monies to assist with market stabilisation		From April 2017	As part of the Better Care Fund for 2017-19, the iBCF has been apportioned to a number of different projects – including supporting domiciliary and residential care home providers.					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2018	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	21/09/2017	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 rise 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-term condition. 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 and a change in the way that local government is funded in the future, major transformation is required.</p> <p>The Council, working in partnership with NHS Thurrock Clinical Commissioning Group (CCG) has developed a joint transformation programme which is overseen via an Integrated Commissioning Executive (which is also responsible for the Better Care Fund). Integration though continues to be a significant challenge. As such, the Directorate has also established its own Adults Transformation Programme (For Thurrock in Thurrock) jointly with Thurrock CCG and Stronger Together Thurrock. 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 the available budget.</p>							Roger Harris	
Link to Corporate Priority								
Improve Health and Wellbeing								
Inherent Risk Rating	Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 01/04/2017	Residual Risk Rating as at: 01/04/2017	Residual Risk Rating as at: 21/09/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

Comments
Significant programme management capacity and expertise is required to deliver both the Adult Social Care Transformation Programme and the Health and Social Care Integration Programme (including the Better Care Fund). There are also challenges to overcome to progress integration with health. This includes current pressures on the Essex-wide health economy, a 'local' health agenda which is geographically broader than Thurrock, 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 (ASC) and also faces significant on-going reductions to funding – although the department has received additional funding for ASC from 2017/18 which it needs to use to help provide stability and capacity, including within the ASC transformation programme. The pressures identified remain and will not be alleviated in the short term and therefore the residual and forecast ratings have been evaluated as 12 (Critical/Likely).

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Programme Management arrangements in place								2014/15
2. Programme Initiation Document including separate risk register developed, established and agreed								""
3. Close partnership working with Thurrock CCG via Integrated Commissioning Executive to oversee the integration of health and ASC								"
4. Joint Health and Social Care Transformation Programme agreed – For Thurrock in Thurrock								2016/17
Residual Risk Rating	Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
5. Delivery of 2017-18 work programme for ASC:	Throughout 2017 and beyond	
5.1 Better Care Fund 2017-19;		Better Care Fund for 2017-19 submitted 11 th September, with Fund in excess of £40m p.a.
5.2 Assistive Technology Strategy;		Project group established to take the Assistive Technology Strategy forward. Cabinet Report being developed for November Cabinet on options for developing a 21 st Century Residential Care Facility.
5.3 Developing a 21 st Century Residential Care Facility;		Specialist Housing projects in development.
5.4 Specialised Housing: Medina Road; Chichester Close; Calcutta Road;		
5.5 Communication and Engagement		Work taking place to outline the development of Wellbeing Teams – design day taking place on 23 rd October.
5.6 Well-Being Teams		Improvement project about to be established – to identify improvement opportunities in ASC processes.
5.7 Improvement Programme		Options appraisal to look at potential alternative delivery models for adult social care scheduled to complete in October (report).
5.8 Alternative Delivery Models		Domiciliary Care tender has been issued with provider interviews taking place in October.
5.9 Thurrock Care @Home		Thurrock First has been in place since early July, with the team moving to its
5.10 Thurrock First		

5.11 Micro Enterprises 5.12 Shared Lives					<p>Thurrock Hospital location in October. The official launch of the service will be 2nd November.</p> <p>A number of micro-enterprises are now in place with more in the pipeline ensuring that we widen the ASC market place and also provide residents with greater choice.</p> <p>Shared Lives has launched and work is taking place to identify families/individuals suitable for the scheme.</p>			
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2018	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	21/09/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Failure of the council and /or service managers to coordinate and maintain business continuity plans would lead to arrangements across the council being inconsistent, outdated and ineffective in times of a disruption affecting Thurrock.								Performance Board	
Link to Corporate Priority									
This links to the delivery of all priorities and the theme a well-run organisation.									
Inherent Risk Rating		Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 01/04/2017	Residual Risk Rating as at: 01/04/2017	Residual Risk Rating as at: 01/10/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018
<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

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.

Oversight of Business Continuity Management is now being provided by Performance Board and an auditing/quality assurance programme of the Business Continuity Plans for the critical functions is a standing item on the Board agenda each quarter. List of current BCPs & critical functions has been updated and will form the basis of ongoing review process by Performance Board and service areas.

A recent internal audit report on emergency planning, separately recommended a review of BCP arrangements at service level, and as such a briefing will be going to Directors Board in the autumn.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. 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 April, 2015.								April 2015
2. Business Impact Analysis undertaken by Service Areas to identify (i) Priority functions and the time frames for reinstatement (ii) Priority IT applications and order/speed of restoration and Service Business Continuity Plans updated.								Oct 2015 - Feb 2016
3. Analysis of priority functions/IT applications undertaken by ICT Service and report on the interim solution for ICT DR arrangements presented to Directors Board, via Digital Board								Feb – March 2016
4. Outcome of review along with proposals to strengthen BCM arrangements across the Council submitted to Directors Board in April 2016. Performance Board to provide oversight role for Business Continuity Planning from July 2016								April 2016
5. Quality assurance process for Business Continuity Plans for critical functions considered by PB Aug 2016. List of current BCPs and critical functions to be established and to form the basis of ongoing review process by PB and service areas.								August 2016 – March 2017
Residual Risk Rating	Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
6. Performance Board to review BCP list as a standing item each quarter to ensure BCPs are kept up to date by services and undertake random sample checks of individual plans for critical functions			Quarterly throughout 2017/18	New approach is going to be developed and will form part of the briefing to Directors Board in November 2017				
7. Directorate Management Teams to quality assure all BCPs within their areas			From Apr 2017					
8. Briefing to Directors Board			November 2017					
Forecast Risk Rating	Forecast Date:	31/03/2018	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:	01/10/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
Information Communications Technology (ICT) Disaster Recovery Planning - 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							Murray James	
Link to Corporate Priority								
A well run organisation								
Inherent Risk Rating	Date:	24/04/2017	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 24/04/2017	Residual Risk Rating as at: 24/04/2017	Residual Risk Rating as at: 26/09/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018
<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

A proposal to install a basic Disaster recovery capability to support up to 100 concurrent users at Southend has been approved by Directors Board and is currently being implemented.

In parallel the council will be reviewing its strategic infrastructure requirement, but deploying the tactical solution will ensure this exercise is driven by service requirements rather than a Disaster Recovery imperative.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. An ICT DR plan (v4.2.1) exists.								Nov 2014
2. Establish a BCP/DR Support Group.								Sept 2015
3. Approach for the review of Business Impact Analysis, Business Continuity Plans developed by the BCP/DR Support Group								Sept 2015
4. Approach for the review of BIAs/BCPs introduced to Directors Board								June –Sept 2015
5. Review of Business Impact Analysis and Business continuity Plans undertaken by individual Council Services to identify:								Feb 2016
(i). Their current critical service functions and applications in use.								
(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).								
6. BCP/DR Support Group reviewed feedback from each Council Service to ensure returns complete and realistic.								Mar 2016
7. ICT options, proposals and costs developed and submitted for Short, Medium and Long term DR scenarios.								From Apr 2016
8. Proposal to support critical applications for up to 100 users provisionally approved by Directors Board, subject to services agreeing the numbers are workable.								April 2016
9. Development/consideration of Medium and Long term DR solutions and delivery of fully resilient ICT strategic infrastructure. Programme forms part of the capital plan, spread over 2 years								From Apr 2016 – Mar 2018
10. Implementation of DR ICT Technology for short term solution following agreement that proposal is workable								June – Sept 2016
11. DR test of short term solutions/system								From Jul 2016
12. Power redundancy back up system to be restored in main Civic Offices communications roo to increase resilience and manage the risk								From Jun – Sept 2016
Residual Risk Rating	Date:	24/04/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

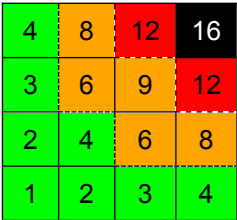
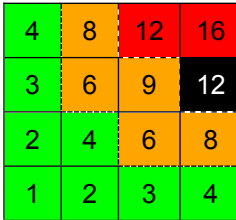
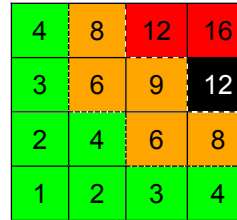
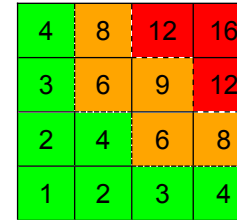
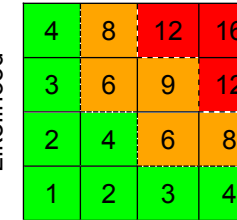
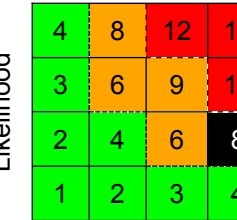
FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
13. Ongoing implementation and application of actions 9 & 11 above.			From Apr 2017	DR test is being planned for October 2017. Server room upgrade in the early stage of requirement gathering. New backup technology being planned for deployment before end of 2017				
Forecast Risk Rating	Forecast Date:	31/03/2018	Impact:	Marginal (2)	Likelihood:	Unlikely (2)	Rating:	4
Revised Residual Risk Rating	Date:	26/09/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
<p>The Council faces significant budget pressures due significant funding reductions from central government and increasing demand in services. These budget pressures remain and the Council is now concentrating on the period 2018/19 through to 2020/21.</p> <p>Failure to develop plans to set and maintain a balanced budget and to deliver the associated savings for the period 2018/19 to 2020/21 could lead to ill informed decisions on service reductions, unplanned efficiencies and in year overspends and result in service delivery impacts, negative feedback or publicity and unexpected contributions from reserves to balance the budget or, in the worse-case, an ultra vires deficit budget position.</p>								Sean Clark Directors Board	
Link to Corporate Priority									
A well-run organisation.									
Inherent Risk Rating	Date:	15/03/2017	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16	

DASHBOARD

Inherent Risk Rating & Date: 15/03/2017	Residual Risk Rating as at: 15/03/2017	Residual Risk Rating as at: 07/09/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 28/02/2018
 <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

MTFS established. Balanced budget for 2017/18 set and forecast for the financial years 2018/19 through to 2020/21 reported to Cabinet and Council February 2017. Transformation and Service Review Programmes established to help address the budget position and support the council in achieving financial self-sustainability. Monthly monitoring of programmes undertaken by Transformation and Service Review Boards. Monthly budget monitoring reports considered by Directorate Management Teams and Directors Board. Full budget report scheduled to be reported to October 2017 Cabinet.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. MTFS established and reported to Council February 2017. Balanced budget for 2017/18 agreed and forecast for the financial years 2018/19 through to 2019/20 (including budget deficits) noted.								Feb 2017
2. Transformation and Service Review Programmes established to support the Council to address the deficit and in achieving financial self-sustainability.								2016/17
Residual Risk Rating	Date:	15/03/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
3. Ongoing regular budget monitoring reports to Cabinet , via Directors Board and Management Teams on MTFS and budget position			From Apr 2017	Monthly budget monitoring reports considered by Directorate Management Teams and Directors Board. Full budget report scheduled to be reported to October 2017 Cabinet.				
4. Ongoing identification, development and implementation of transformational projects and other schemes (e.g. service reviews) to support the Council to address the deficit and in achieving financial self-sustainability (e.g. income generation, contract reviews, spend to save initiatives, alternative delivery models, etc.)			From Apr 2017	Monthly monitoring of Transformation projects and Service Reviews undertaken by Transformation and Service Review Boards.				
5. Regular consideration of budget position by Leadership Group			From Apr 2017	Regular updates of budget position presented to and considered by Leadership Group.				
6. Regular review of budget position, proposals and implementation plans by Spending Review Panel			From Apr 2017	Challenge and consultation of budget position to be supported by spending review approach.				
7. Undertake public consultation including Overview & Scrutiny on any proposals			Dec 2017					
8. Agreement and reporting of Budget 2018/19 (and 2019/20+)			Feb 2018					
Forecast Risk Rating	Forecast Date:	28/02/2018	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:	07/09/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / 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								Rory Patterson	
Link to Corporate Priority									
- Create a great place for learning and opportunity - Improve health and wellbeing									
Inherent Risk Rating		Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 01/04/2017	Residual Risk Rating as at: 01/04/2017	Residual Risk Rating as at: 15/09/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

Comments

This risk evaluates the impact of increased demand and resource pressures on children's social care quality of service and provision. The pressures outlined throughout previous years remain acute. They include increased volumes, increased complexity and ongoing activity to review high cost placements. 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 led and cannot fail to respond to the needs of a child due to budget or resource constraints. Changes on a local, regional and national level can have a significant impact on the demand for services. 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. Caseloads are too high in some teams and this represents a pressing safeguarding concern. Areas for improvement have been identified within the recent Ofsted (SIF).

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.

Risk and action plan documentation refreshed and reviewed. 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 forecast date of 31/03/18 has been applied to the risk, which is the time when the risk will be fully 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 an Improvements Board.								Ongoing
2. Trix Policies and Procedures have been introduced across Children's Social care. All procedures to be subject to review and updating.								Completed / ongoing
3. 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. Further improvements in these services have been identified within the Ofsted SIF. A service redesign is planned based on the SIF findings and work by iMPower.								Ongoing
4. Internal quality assurance audits to evidence appropriate application of thresholds.								Ongoing
5. Ongoing data analysis to enable us to benchmark and target areas for improvement; complete redesign of PKI and trends analysis.								From Apr 2016
6. Placement Review – an external reviews of high cost placements.								Ongoing
7. Ofsted inspection and action plan to address recommendations included in report								From Feb 2016
8. Review of key strategic, operational, technological, partnership and practice developments relating to Child Sexual Exploitation (CSE)								From May 2015
Residual Risk Rating	Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
9. Ongoing implementation and/or application of actions 1 - 8 above.			From Apr 2017	Ongoing				
Forecast Risk Rating	Forecast Date:	31/03/2018	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	15/09/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Failure to ensure that all children and young people in need of help or protection are safeguarded and supported could result in them not achieving their full potential and increasing the risk of a child death or serious injury.								Rory Patterson	
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:	01/04/2017	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 01/04/2017	Residual Risk Rating as at: 01/04/2017	Residual Risk Rating as at: 15/09/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

Comments

The nature of the work in terms of safeguarding and supporting children at risk of harm means that this will always be a high risk area although through the application of 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.

Embedding 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.

Managing this risk places inherent pressures on the Children's Social Care budget as a demand led budget. The current trend has seen increasing numbers of children requiring child protection plans, children in need plans and children who the council is required to look after (children in care). Effective demand and resource management remain a priority for the service within an overriding context of keeping children safe.

Risk and action plan documentation reviewed and evaluated. Risk will remain constant throughout the period covered.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented
1. Application of the Southend, Essex & Thurrock Child Protection procedures							Ongoing
2. Local Safeguarding Children's Board established, progress reported annually and guidance reviewed							Ongoing
3. Quality assurance and safeguarding function of Children's Social Care.							Ongoing
4. Legal framework and court action							Ongoing
5. Continue to strengthen the Thurrock Multi Agency Safeguarding Hub introduced Sept 2014 and services commissioned as part of the Early Offer of Help Strategy							Ongoing
6. Case Audits							Ongoing
7. Quality assurance framework							Ongoing
8. Improvement plan in line with Ofsted inspection and iMPower consultation							From Feb 2016
Residual Risk Rating	Date:	01/04/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating: 12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
9. Ongoing implementation and/or application of actions 1-8 above			From Apr 2017					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2018	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	15/09/2017	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Sickness absence remains above average for the sector and outturn for 2016/17 was higher than previous year. Long term sickness levels in particular remain high (over 60% as at end of 2016/17) and incidences of stress related also remain high and both need to be monitored closely. High levels of absence are damaging to the organisation, place additional cost pressures, impact the morale and productivity of the council and disrupt service delivery.								Jackie Hinchliffe	
Link to Corporate Priority									
Links to all corporate priorities and to a well-run organisation									
Inherent Risk Rating		Date:	01/04/2017	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 01/04/2017	Residual Risk Rating as at: 01/04/2017	Residual Risk Rating as at: 27/09/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

Comments

Sickness remains a concern with outturn for 2016/17 higher than previous year. Service level management of issues has improved significantly however and individual cases are dealt with on a case by case basis. Human Resources Advisors continue to support managers with their sickness absence reviews and there is a big push regarding compliance with Return to Work interviews, for which People Board is providing governance. The reduction of sickness is now linked the Council Spending Review with a target to reduce the cost of agency and overtime paid to cover for absent colleagues.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Management Information issued monthly and supported by HR attendance at DMT's.								Ongoing
2. Programme of mandatory training for people managers around sickness absence management issues. Training programme ongoing.								Ongoing
3. Absence management contract with FirstCare from 1 April 2016 with improved reporting functionality for managers including training to enhance manager compliance with RTW's and monitoring stages.								April 2016
4. In-house Occupational Health service with permanent OH Nurse appointed in December 2015.								December 2015
5. KPIs around sickness included in corporate scorecard and monitored on a monthly basis at Performance Board.								Ongoing
6. Undertaking a review of the top 100 cases and reviewing support requirements								March 2017
7. Introducing a Star Chamber case review process to ensure each case is completely understood and managed appropriately.								March 2017
Residual Risk Rating	Date:	01/04/2017	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
8. Ongoing implementation and/or application of actions 1 to 7 above			From Apr 2017 to Mar 2018	8-11 actions ongoing				
9. Additional Occupational Health resource brought in to support timely management of sickness absence cases			From Sep 2017 to Mar 2018					
10. Sickness action plan developed following Star Chambers with project group set up to drive actions and monitored at People Board			From Aug 2017 – ongoing					
11. All HR Business Partners will focus on absence as a key priority and work with Directorates to agree their requirements			From Sep 2017 to March 2018					
Forecast Risk Rating	Forecast Date:	31/03/2018	Impact:	Substantial (3)	Likelihood:	Likely (3)	Rating:	9
Revised Residual Risk Rating	Date:	27/09/2017	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Failure to maintain housing stock in compliance with regulations and best practice relating to fire safety.								John Knight	
Link to Corporate Priority									
Improve health and well being A well run organisation									
Inherent Risk Rating		Date:	01/10/2017	Impact:	Critical (4)	Likelihood:	Unlikely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 01/10/2017	Residual Risk Rating as at: 01/10/2017	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

Comments

As a social landlord the Council has a responsibility to ensure the safety and security of all residents in our housing stock.

The tower block fire at Grenfell Tower, Kensington on 14th June 2017 triggered an urgent review of fire safety arrangements for high rise tower blocks. Work is ongoing to provide full assurance to residents in all other property types including sheltered housing.

The Council would be open to criticism and possible legal proceedings if non-compliant with regulations and/or any new requirements identified by the Government's enquiry into the Grenfell Tower fire. In addition to the full range of mitigating actions set out below any recommendations from the enquiry will be implemented as soon as the requirements are clear and budgetary provision has been made.

Management Action or Mitigation Already in Place	Date Implemented
1. Since construction all housing high rise blocks maintained and refurbished through ongoing maintenance and capital improvement programmes, covering external features, individual dwellings and communal areas.	Ongoing
2. Fire Safety Policy established and regularly reviewed and updated to keep in line with current legislation. Last review completed Sept 2016 and next review planned for Sept 2019 as per the three year review programme stipulated in the policy.	Ongoing
3. Comprehensive Fire Risk Assessments established and in line with Regulatory Reform (Fire Safety) Order 2005 and the Local Government Association guidance (Fire Safety in Purpose Built Blocks of Flats). Documentation reviewed on a rolling three year programme and individual intermediate assessments undertaken for any major works or alterations carried out within the three year period.	Ongoing
4. Emergency procedures in the event of a fire developed based on the Regulatory Reform and LGA guidance. Essex Fire and Rescue Service consulted on procedures and Stay Put Policy established for high rise residential accommodation	Ongoing
5. All fifteen tower blocks designed, built and maintained for operation of Stay Put Policy (i.e. compartment system and structural elements in place to stop and delay the spread of fire to give time for the fire & rescue service to combat the fire and/or undertake controlled evacuation if necessary).	Ongoing
6. Pre-defined checks undertaken by Housing staff on a daily, weekly and monthly basis (e.g. manual triggering of alarms on each floor to ensure system operation) and any defects identified and addressed.	Ongoing
7. Fire detection systems in place for communal areas and residential flats. Non-audible system fitted to communal areas to adhere to the principles of the stay put policy. System controls self-closing fire doors to prevent the spread of smoke and fire to or from the communal area. Stand-alone systems fitted to each residential flat. Stand-alone systems comprise of a heat detector in the kitchen and smoke detector in the hallway. Detectors are audible to ensure that resident affected by a fire is alerted and can evacuate the property.	Ongoing
8. Quarterly servicing and maintenance contract in place for the fire detection system covering such elements as smoke detection, dry risers and emergency lighting.	Ongoing
9. Twelve of the fifteen blocks have external cladding system installed (glass fibre reinforced resin substance covering a mineral wool slab insulation). Both cladding and the insulation have the highest classification for fire safety and categorised as 'not readily combustible installations'.	Circa 2000
10. Details of Thurrock high rise and cladding systems submitted to Central Government and Building Research Establishment (BRE) following the fire in Grenfell Tower. Identified that Thurrock not required to provide any cladding samples for testing as none on the cladding systems or construction details match those used at Grenfell Tower.	Post June 2017
11. Independent consultant commissioned to undertake assessment of cladding systems in place in Thurrock.	From Aug 2017
12. Following fire at Grenfell a letter containing fire safety arrangements and procedures hand delivered to all flats in Thurrock's tower blocks 16 th June 2017. Under the exercise officers engaged in face to face discussions with residents to provide additional assurance of the position and to obtain feedback of any concerns. Further detailed letter of 27 th June 2017 (including Frequently Asked Questions information) issued to all tower block residents and details shared with members and media outlets as appropriate. Residents meetings undertaken late June and early July to give residents further opportunity to seek assurances and to raise any concerns. Fire safety bulleting issued to all tower block residents in September 2017.	June to September 2017

13. In partnership with Essex Fire & Rescue Service all Thurrock tower blocks re-assessed following the fire at Grenfell Tower to ensure that standards implemented are maintained. Identified that parking around the high rise buildings needs to be addressed to ensure the area is clear for emergency services vehicle access in the event of an incident. Combination of parking enforcement and additional structure works to be implemented to address the position. Programme of more comprehensive review of all tower blocks to commence with the Fire & Rescue Service August 2017.								Ongoing from June 2017
14. Review of Fire Safety arrangements for other social housing stock undertaken and no overdue Fire Risk Assessments identified. During 2016/17 £220k of capital works carried out through a bespoke programme to maintain fire safety across the housing stock. In line with the three year risk assessment policy, new assessments completed for all sheltered complexes and low risk housing blocks during 2017/18.								From June 2017
16. Feasibility study into the retro-fitting of sprinkler systems through the tower blocks in Thurrock commenced and potential financial pressure on relevant capital works identified.								From July 2017
17. Housing Enforcement Team to maintain work to identify any category one hazards in private sector housing properties and to intensify efforts to encourage local landlords to maintain fire standards and to provide safe homes.								Ongoing
Residual Risk Rating	Date:	01/10/2017	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
18. Ongoing review, implementation and/or application of actions 1 - 17 above.			Ongoing					
19. Continue to monitor national development of the position and respond to any government requests or legislative and regulatory changes as they occur.			Ongoing					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2018	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

Opportunities In Focus

UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description								Opportunity Owner	
Opportunity to secure significant capital and/or EU Structural funds through work with the South East Local Enterprise Partnership in pursuit of priorities set out in the Strategic Economic Plan, Opportunity South Essex Growth Strategy and Thurrock Economic Growth Strategy.								Tim Rignall	
Link to Corporate Priority									
Encourage and promote job creation and economic prosperity. Create a great place for learning and opportunity.									
Inherent Opportunity Rating		Date:	01/04/2017	Impact:	Exceptional (4)	Likelihood:	Very Unlikely (1)	Rating:	4

DASHBOARD

Inherent Opp. Rating & Date: 01/04/2017	Residual Opp. Rating as at: 01/04/2017	Residual Opp. Rating as at: 20/09/2017	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 31/03/2018																																																																																																
<table><tr><td>16</td><td>12</td><td>8</td><td>4</td></tr><tr><td>12</td><td>9</td><td>6</td><td>3</td></tr><tr><td>8</td><td>6</td><td>4</td><td>2</td></tr><tr><td>4</td><td>3</td><td>2</td><td>1</td></tr></table> <p>Likelihood</p> <p>Impact</p>	16	12	8	4	12	9	6	3	8	6	4	2	4	3	2	1	<table><tr><td>16</td><td>12</td><td>8</td><td>4</td></tr><tr><td>12</td><td>9</td><td>6</td><td>3</td></tr><tr><td>8</td><td>6</td><td>4</td><td>2</td></tr><tr><td>4</td><td>3</td><td>2</td><td>1</td></tr></table> <p>Likelihood</p> <p>Impact</p>	16	12	8	4	12	9	6	3	8	6	4	2	4	3	2	1	<table><tr><td>16</td><td>12</td><td>8</td><td>4</td></tr><tr><td>12</td><td>9</td><td>6</td><td>3</td></tr><tr><td>8</td><td>6</td><td>4</td><td>2</td></tr><tr><td>4</td><td>3</td><td>2</td><td>1</td></tr></table> <p>Likelihood</p> <p>Impact</p>	16	12	8	4	12	9	6	3	8	6	4	2	4	3	2	1	<table><tr><td>16</td><td>12</td><td>8</td><td>4</td></tr><tr><td>12</td><td>9</td><td>6</td><td>3</td></tr><tr><td>8</td><td>6</td><td>4</td><td>2</td></tr><tr><td>4</td><td>3</td><td>2</td><td>1</td></tr></table> <p>Likelihood</p> <p>Impact</p>	16	12	8	4	12	9	6	3	8	6	4	2	4	3	2	1	<table><tr><td>16</td><td>12</td><td>8</td><td>4</td></tr><tr><td>12</td><td>9</td><td>6</td><td>3</td></tr><tr><td>8</td><td>6</td><td>4</td><td>2</td></tr><tr><td>4</td><td>3</td><td>2</td><td>1</td></tr></table> <p>Likelihood</p> <p>Impact</p>	16	12	8	4	12	9	6	3	8	6	4	2	4	3	2	1	<table><tr><td>16</td><td>12</td><td>8</td><td>4</td></tr><tr><td>12</td><td>9</td><td>6</td><td>3</td></tr><tr><td>8</td><td>6</td><td>4</td><td>2</td></tr><tr><td>4</td><td>3</td><td>2</td><td>1</td></tr></table> <p>Likelihood</p> <p>Impact</p>	16	12	8	4	12	9	6	3	8	6	4	2	4	3	2	1
16	12	8	4																																																																																																		
12	9	6	3																																																																																																		
8	6	4	2																																																																																																		
4	3	2	1																																																																																																		
16	12	8	4																																																																																																		
12	9	6	3																																																																																																		
8	6	4	2																																																																																																		
4	3	2	1																																																																																																		
16	12	8	4																																																																																																		
12	9	6	3																																																																																																		
8	6	4	2																																																																																																		
4	3	2	1																																																																																																		
16	12	8	4																																																																																																		
12	9	6	3																																																																																																		
8	6	4	2																																																																																																		
4	3	2	1																																																																																																		
16	12	8	4																																																																																																		
12	9	6	3																																																																																																		
8	6	4	2																																																																																																		
4	3	2	1																																																																																																		
16	12	8	4																																																																																																		
12	9	6	3																																																																																																		
8	6	4	2																																																																																																		
4	3	2	1																																																																																																		

Comments

The Council has secured £108.3m of Local Growth Funding to support delivery of key infrastructure and regeneration projects. Projects receiving support include:

- A13 widening.
- Stanford-le-Hope/London Gateway access improvements.
- Cycling initiatives and sustainable travel.
- Purfleet regeneration project.
- Grays South regeneration project.

The Government has now indicated that there will be no further rounds of LGF funding and through its consultation on the Industrial Strategy Green Paper has tested various ideas for future funding, for example an Industrial Strategy Challenge Fund.

In addition to the LGF funding the Council has also secured significant resource through ERDF and ESF to support delivery of corporate priorities. The Council is a delivery

partner in over £35m of business support and employability programmes and is also leading and supporting further bids. The opportunity provided by EU funding is time limited with Brexit negotiations looming. It is also limited by the requirement to provide 50% match funding.

The Council has enjoyed considerable success in pursuing this opportunity; however, in light of comments above the time may be right to recast this opportunity in the context of a changing national and EU policy landscape?

Without doubt we should continue to work with, and have an active role in, SELEP as future funding opportunities are very likely to be routed through it. Equally we should continue to develop a pipeline of projects supported by robust business cases so that when an opportunity does present itself we are in a position to be able to respond.

Clarity on future funding opportunities is likely when the Industrial Strategy Green Paper evolves into a white paper and the Council to continue to be actively engaged in the dialogue around the Strategy and seek to lobby and influence where possible.

Provisional forecast rating of 12 (Exceptional/Likely) and forecast date 31/03/2018 applied and opportunity/action plan documentation (including forecast date and rating) to be refreshed when clarity on future funding opportunities and changing national/EU policy landscape available.

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
8. Details of LGF3 announced								Apr 2016
9. Funding of £10.8m for Grays South awarded through LGF 3								Feb 2017
Residual Opportunity Rating	Date:	01/04/2017	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action			Implementation Date	Progress				
10. Growth Board overseeing the development of business cases for a pipeline of potential regeneration/economic development projects to form the basis of bids for future funding rounds. No further funding rounds have yet been announced.			Apr 2017 & Ongoing	Progress when clarity on future funding opportunities and changing national/EU policy landscape details available.				
11. Continue to pursue further ERDF and ESF opportunities as relevant opportunities present themselves. Subject to match funding availability.			From Apr 2017 Ongoing	As 10 above				
12. Actively engage in the dialogue around the Industrial Strategy and seek to lobby and influence where possible.			Apr 2017 & Ongoing	As 10 above				
Forecast Opportunity Rating	Forecast Date:	31/03/2018	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Opportunity Rating	Date:	20/09/2017	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12