

# **Strategic/Corporate Risk & Opportunity Register April 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						
<p>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&amp;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 over the next three years will help to reduce the likelihood of the risk occurring.</p>		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	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
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
1. Comprehensive compliance monitoring and audit process in place. 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. 3. Develop a comprehensive accommodation-based programme to deliver choice and quality in the local market. 4. Compliance with the Care Act regarding market failure and service interruption 5. Provision of increase (3% plus 1% for performance) for OP residential providers 6. Bring back in-house domiciliary care packages of failed providers 7. Identify alternatives to existing model of domiciliary care provision as part of the Adult Social Care Transformation Programme 8. Use of additional ASC monies to help provide market stability 9. Improvement action plan delivered relating to CQC inspection of in-house domiciliary care provision	2013/14 2013/14  From 2013 From Apr 2015 From Apr 2017 From 2015 From 2016 From 2017 By 2017
<b>Residual Risk Rating</b>	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	
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	
12. Development and implementation of Enhanced Care Homes 'offer' (associated with new monies)	Throughout 2017	
13. Continued work to manage demand via the ASC Transformation Programme and Better Care Fund Plan	Throughout 2017/18	
<b>Forecast Risk Rating</b>	Forecast Date: 31/03/2018 Impact: Critical (4) Likelihood: Likely (3) Rating: 12	
<b>Revised Residual Risk Rating</b>	Date: Impact: Likelihood: Rating:	

UNMANAGED / INHERENT RISK

Risk Description		Risk Owner						
<p>Adult Social Care and the NHS are finding it increasingly difficult to meet demand for services, particularly when resource continues to decrease. With the expected ageing and growth of the population, we can expect age-related disease to continue to rise. Dementia for example is predicted to 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 (Better Care Fund Plan). 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:	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. 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 and also faces significant on-going reductions to funding – although the department has received additional funding for Adult Social Care 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 established and agreed	"
3. Close partnership working with Thurrock CCG established	"
4. Separate risk register developed as part of the Programme Management arrangements	"
5. Integrated Commissioning Executive established to oversee the development of work between health and social care	"
6. Joint Health and Social Care Transformation Programme agreed – For Thurrock in Thurrock	2016/17
<b>Residual Risk Rating</b>	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
7. Continue programme arrangements	April 2017	
8. Complete refresh of Better Care Fund 2017-18	TBC	
9. Delivery of 2017-18 work programme for ASC Transformation Programme	June 2017	
10. Delivery of specific pieces of work and projects linked to the programme – e.g. Medina Road, Chichester Close, Calcutta Road, Collins House, Alternative Delivery Models for Adult Social Care	Throughout 2017 and beyond	
11. Input in to the development of an Accountable Care Partnership focusing on Tilbury (the Tilbury Project)	Throughout 2017	
<b>Forecast Risk Rating</b>	Forecast Date: 31/03/2018	Impact: Critical (4)
		Likelihood: Likely (3)
		Rating: 12
<b>Revised Residual Risk Rating</b>	Date:	Impact:
		Likelihood:
		Rating:

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:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

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>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 &amp; critical functions is being updated and will form the basis of ongoing review process by Performance Board and service areas.</p>

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
<b>Residual Risk Rating</b>	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					
7. BCP part of the Leadership Group Away Day in June 2017			June 2017					
8. Directorate Management Teams to quality assure all BCPs within their areas			From Apr 2017					
<b>Forecast Risk Rating</b>	Forecast Date:	31/03/2018	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	



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								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:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

Comments
<p>A proposal to install a basic DR capability to support up to 100 concurrent users at Southend has been approved by Directors Board and is currently being implemented.</p> <p>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 DR imperative.</p>

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: (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).								Feb 2016
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
<b>Residual Risk Rating</b>	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					
<b>Forecast Risk Rating</b>	Forecast Date:	31/03/2018	Impact:	Marginal (2)	Likelihood:	Unlikely (2)	Rating:	4
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	

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:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 28/02/2018

Comments
<p>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. Budget monitoring and reporting established and to continue throughout 2017/18.</p>

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							
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							
5. Regular consideration of budget position by Leadership Group	From Apr 2017							
6. Regular review of budget position, proposals and implementation plans by Spending Review Panel	From Apr 2017							
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:		Impact:		Likelihood:		Rating:	

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:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

Comments
<p>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.</p> <p>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).</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.

Risk and action plan documentation refreshed. 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
<b>Residual Risk Rating</b>	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				
<b>Forecast Risk Rating</b>	Forecast Date:	31/03/2018	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	

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"> <li>- Build pride, responsibility and respect</li> <li>- Create a great place for learning and opportunity</li> <li>- Improve health and wellbeing</li> </ul>								
Inherent Risk Rating	Date:	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:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2018

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 &amp; 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>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.</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> <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.</p>

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 refreshed and evaluated that the 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
<b>Residual Risk Rating</b>	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					
<b>Forecast Risk Rating</b>	Forecast Date:	Refresh 31/03/2018	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	



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:	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
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. HR 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					
Forecast Risk Rating	Forecast Date:	31/03/2018	Impact:	Substantial (3)	Likelihood:	Likely (3)	Rating:	9
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:	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 31/03/2018																																																																																																																																																
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Comments
<p>The Council has secured £108.3m of Local Growth Funding to support delivery of key infrastructure and regeneration projects. Projects receiving support include:</p> <ul style="list-style-type: none"> <li>• A13 widening.</li> <li>• Stanford-le-Hope/London Gateway access improvements.</li> <li>• Cycling initiatives and sustainable travel.</li> <li>• Purfleet regeneration project.</li> <li>• Grays South regeneration project.</li> </ul> <p>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.</p>

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. Although this process is now likely to be delayed by the General election we should 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						
<b>Residual Opportunity Rating</b>	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					
11. Continue to pursue further ERDF and ESF opportunities as relevant opportunities present themselves. Subject to match funding availability.			From Apr 2017 Ongoing					
12. Actively engage in the dialogue around the Industrial Strategy and seek to lobby and influence where possible.			Apr 2017 & Ongoing					
Forecast Opportunity Rating	Forecast Date:	31/03/2018	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Opportunity Rating	Date:		Impact:		Likelihood:		Rating:	