

## **Strategic/Corporate Risk & Opportunity Register October 2014 (In Quarter 3 Report)**

### **In Focus Report**

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

## **Risks In Focus**

UNMANAGED / INHERENT RISK

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

DASHBOARD

Inherent Risk Rating & Date: 03/03/2014	Residual Risk Rating as at: 03/03/2014	Residual Risk Rating as at: 10/07/2014	Residual Risk Rating as at: 13/10/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 01/04/2015
<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>

Comments

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

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented								
1. Contract compliance monitoring and audit function in operation across externally provided services	2013/14								
2. Unannounced (including out of hours) monitoring visits (as required on risk-proportionate basis)	"								
3. Contract specifications for externally provided services in place include performance and outcomes requirements and minimum quality standards to be met	"								
4. Quarterly information sharing meetings with Care Quality commission (CQC) to identify and share concerns/risks. Bi annual Quality Surveillance Group (QSG) meetings with health colleagues and CQC to identify and manage risks across the whole system.	"								
5. Focus on development and use of alternative care provision to residential (ongoing strategy e.g. intermediate care and re-ablement provision)	"								
6. Review out of borough placements where Thurrock does not have the same level of control over contract compliance scrutiny as in borough. (Yet to take place but should be carried out as a matter of urgency due to the reduction of some monitoring by other boroughs leading to significant failings of many care providers)	"								
7. Identify a 'fair price for care' – council to establish/decide on a fair price for care by carrying out meaningful fee consultations with providers to ensure the price we pay is reasonable.	"								
8. Establish minimum quality standards across services to be achieved regardless of cost. New QA framework established through the work undertaken by Herts CC and implemented across the region from Apr 2013 to enhance contract compliance assurance. Implemented in Thurrock through contract specs and provider quality framework (from Apr 2013).	From Apr 2012								
9. Ongoing price negotiation work to achieve a fair price on high-cost placements. From April 2011	From Apr 2011								
10. Market shaping and development of alternative provision for those with complex needs e.g. extra-care	2013/14								
11. Budget / growth strategy (strategy for future funding of care provision. To be incorporated into Market Position Statement. From May 2013	From May 2013								
12. Provision of a 2% inflationary increase for residential older people providers (1% linked to performance). From Dec 2012	From Dec 2012								
13. All providers reviewed service users and priority-ranked to assist support prioritization in event of lack of carers. From Dec 2012	"								
14. Business continuity plan for adult social care regularly reviewed to ensure up to date and sufficient in light of the risk. From Dec 2012	"								
15. Prepare for the potential for Thurrock to take emergency action, if required and notify CQC accordingly. From Dec 2012	"								
16. 'Step-up to care' training programme developed and implemented for non-care staff to act in emergency. Dec 2012 to May 2013	May 2013								
17. Prioritization of the rapid response assessment service to manage emergency calls and ease pressure on hospital admissions and residential care admission. From Jan 2013. Service expansion agreed for 2013/14.	From Jan 2013								
<b>Residual Risk Rating</b>	<table border="1"> <tr> <td>Date:</td> <td>03/03/2014</td> <td>Impact:</td> <td>Critical (4)</td> <td>Likelihood:</td> <td>Likely (3)</td> <td>Rating:</td> <td>12</td> </tr> </table>	Date:	03/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Date:	03/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12		

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
18. Implement spot purchase contract to take on work which is being retained by our in house team from April 2014.			From April 2014	Implemented.				
19. Ongoing ccontract compliance monitoring and audit of externally provided services			"	Ongoing and to be reviewed as part of restructure. This will be impacted by need to restructure team as consequence of ongoing savings requirements. However risk mitigation will be priority in design of restructure.				
20. Continue unannounced (including out of hours) monitoring visits (as required on risk-proportionate basis)			"	Ongoing and to be reviewed as part of restructure. This will be impacted by need to restructure team as consequence of ongoing savings requirements. However risk mitigation will be priority in design of restructure.				
21. Maintain quarterly information sharing meetings with CQC and bi annual Quality Surveillance Group meetings with Health and CQC.			"	Ongoing.				
22. Provision of increase (1% plus 1%) for providers from April 2014			April 2014	Implemented				
24. As part of Care Act implementation plan prepare for statutory services to intervene in the event of provider failure								
25. Restructure of fieldwork /contract/safeguarding and joint reablement teams to ensure need for efficiency is managed without compromising quality and regulatory function.			From October 2014	Initial documentation being presented to Director's Board for approval to proceed 14.10.2014.				
Target Risk Rating	Target Date:	Refresh 01/04/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	13/10/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

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

DASHBOARD

Inherent Risk Rating & Date: 21/03/2014	Residual Risk Rating as at: 21/03/2014	Residual Risk Rating as at: 08/07/2014	Residual Risk Rating as at: 14/10/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 28/02/2015 30/09/2014

Comments
<p>Programme management of this major legislative change would, in any normal year, become the major focus for the directorate. However we are currently having to programme manage and deliver four complex and wide ranging programmes of work; the care act, better care fund integration, short term service efficiency and improvement projects and long term cultural change and transformation. Thurrock is a very low spending authority per capita on adult social care and also faces significant reductions to funding via the national austerity programme. Risks of non-delivery of any, or all, of these important programmes are exacerbated by these factors. Mitigation in the form of securing resources in the short term to provide adequate programme management, delivery and specialist expertise where required is necessary.</p> <p>The Council originally set a target date of September to achieve a residual risk rating score of 9. As of October, we are still rating this risk at '12'. Whilst we are confident that the Council are on track to deliver the requirements set out within the Care Act, there are a number of assumptions and unknowns associated with key elements of the Care Act – e.g. how many additional people will require a carer assessment. We are also in the process of developing systems key to the implementation of certain Care Act requirements – e.g. 'Quickheart' to meet the Council's Information and Advice officer, and also the development of a Resource Allocation System which will enable individuals eligible for care to have a personal budget (a 'must do' under the Care Act). Until we can further qualify and quantify some of the current unknowns, then the risk level will remain as is. Revised target date of 28/02/15 put forward.</p>

EXISTING ACTION / RESIDUAL RISK

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

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
3. Establish a Health and Social Care Transformation Programme Board which will oversee the implementation on the Care Act requirements with specific workstreams on: (a) Eligibility Criteria. (b). Carers Assessments. (c). Advice and Information	By May 2014	Care Bill is now a Care Act, receiving royal assent in May 2014. A Care Act Implementation Project Group has been established (April 14) to deliver the work of the Care Act, associated guidance & regulations. The Project Group meets monthly.
4. A Care Act Implementation team will be established.	By May 2014	Project Management in place. Further resourcing requirements have been identified.
5. Monthly readiness assessments will be produced for the Programme Board	From June 2014	Readiness Assessment has been refreshed, along with each section of the Care Act's Guidance which was published in June 2014.
6. Development of training programme for staff	By July 2014	Training and development needs have been identified and a draft Care Act training and development plan is in the process of being developed.
7. A communication plan for the wider community will be produced	By Sept 2014	A draft communications plan is in the process of being developed and will be finalised once the national communications plan has been published – date unknown.

8. Review readiness and establish what further action is required through analysis of draft guidance and regulations			July 2014	Action required and areas of risk have identified as part of each section of the Care Act's guidance being assessed for readiness. Actions are being monitored via the Care Act Implementation Project Group.				
9. Project Plan in place			July 2014	Project Plan in development and needs finalising.				
10. Resource requirements highlighted			August 2014	Resource requirements highlighted, but due to the number of assumptions being made and number of unknowns, exact resource requirements will be unknown until Care Act is implemented.				
11. Review draft guidance relating to funding changes			November 2014					
12. Benchmarking with regional colleagues			October 2014	The Care Act Implementation Group's project lead is now part of a regional network where best practice can be shared and problems and challenges highlighted.				
<b>Target Risk Rating</b>	Target Date:	28/02/2015 <del>30/09/2014</del>	Impact:	Substantial (3)	Likelihood:	Likely (3)	Rating:	9
<b>Revised Residual Risk Rating</b>	Date:	14/10/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12



UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
Risk: Failure to manage the increases in demand and budget/resource pressures for Children Social Care services could lead to a breakdown in the quality or performance of the social care service provided to vulnerable children and results in less favorable outcomes from inspection and damage to reputation if the service does not meet the required standards.							Nicky Pace	
Link to Corporate Priority								
Priority - Improve health and wellbeing Priority - Create a great place for learning and opportunity								
Inherent Risk Rating	Date:	22/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 22/04/2014	Residual Risk Rating as at: 22/04/2014	Residual Risk Rating as at: 08/07/2014	Residual Risk Rating as at: 17/10/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 01/04/2015

Comments
<p>This risk evaluates the impact of increased demand and resource pressures on children’s social care quality of service and provision. This risk remains from the previous year. The pressures outlined throughout the 2013/14 year remain acute. They include increased volumes, increased complexity, ongoing activity to review high cost placements. The implementation of early help and multi-agency safeguarding hub has been successful though in itself is expected to increase volume of work to children’s social care in the short term. It is not possible therefore to downgrade the risk rating whilst this remains the case and the risk remains at a high level. A range of mitigating actions have been implemented throughout 2013/14 and further actions are summarized in the management action plan for the risk. Further savings needing to be made for the Children’s Social care budget will also impact but these have been risk assessed and impact on front line services reduced.</p>

## EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. Planned reductions to the establishment implemented from August 2010 onwards to achieve reductions in expenditure.	Aug 2010 onwards.
2. Reduction in Service Managers undertaken in July 2011 to achieve in year savings.	July 2011
3. Reduction in social work staffing levels for looked after children undertaken in Dec 2011 to achieve in year savings.	Dec 2011
4. Work with Education from July 2011 onwards to develop 'Early Offer of Help Strategy' to meet the new the duty placed on Council's to coordinate an early offer of help to families who do not meet the criteria for social care services.	Jul 2011 onwards.
<p>5. Ongoing management review, reporting of services (e.g. resource and demand pressures) from February 2012, including:</p> <ul style="list-style-type: none"> <li>- Report on service including resource and demand pressures presented to Children's Overview &amp; Scrutiny Panel February 2012.</li> <li>- OfSTED Inspection of Children's safeguarding and children looked after provision – June 2012. OfSTED rated both services as good. The inspection also identified areas for improvement and recommendations based on these. Action plan to address areas for improvement developed/implemented by service and progress regularly monitored by senior management.</li> <li>- Internal quality assurance audits from Sept 2012 to evidence appropriate application of thresholds.</li> <li>- Analysis of national data in respect of child protection and looked after children to compare Thurrock with other councils and report of findings to Children's Overview and Scrutiny Committee.</li> <li>- In partnership with other Eastern Region authorities monitoring a Safeguarding Performance Dashboard which focuses on key service pressure areas.</li> <li>- Caseload allocation analysis - All teams monitor caseload allocation in terms of volume and complexity regularly (caseload allocation is a key indicator in the eastern region safeguarding dashboard).</li> </ul>	Feb 2012 ongoing
6. Phased implementation of 'Early Offer of Help Strategy' – from April 2012. Early Offer of Help Services agreement to proceed was given at Cabinet (Q3 2012) and contracts are at the point of being awarded - as at Jan 2013	Apr 2012 ongoing.
7. Business case/growth bid for resource submitted to Star Chamber and service pressures report including resource, demand, staffing and legislative considered by People Services DMT highlighting critical pressures and associated risks - August 2012.	Aug 2012 ongoing
8. Further analysis undertaken Q3 2012 into increased safeguarding and related activity and the associated service pressures and resource demands arising from this. The following actions were identified as steps to support proactive demand management and explore the scope for additional activity to clarify whether there is any unexplored potential to return children to care of their own families:	2012/13
<b>(i) Greater insistence on fuller implementation of the Common Assessment Framework (CAF) process</b> – all cases should have had CAF involvement prior to acceptance by Social Care. Intention is for receiving teams to start requesting CAF with referrals – this is in the process of being implemented by the service as at Jan 2013.	Ongoing
<b>(ii) Widen use of Family Group Conferences (FGCs)</b> – wherever possible FGCs should be held prior to care as a standard procedure – the need for this will be further highlighted by CP Chairs to support Social Work teams – ongoing as at Jan 2013.	Ongoing
<b>(iii) Hold a summit with voluntary sector</b> to explore what more can we do together to maintain or return children to their own families. This follows informal communication in which some local organisations had expressed a commitment to be more active in this area of work. A date of 22 February 2013 has been planned for an initial meeting.	Ongoing
<b>(iv) Review of all cases for children aged 14+</b> - The head of service has chaired a panel to review the cases of a sample of looked after children aged 14+, to explore whether there are young people who could safely be returned to the care of their families. This reviewing exercise has been completed and to date (Jan 2013) has confirmed that, with the exception of 1 or 2 cases, where a return to home was already planned, the existing arrangements in terms of placement and care needs are appropriate. Positively, this additional scrutiny has validated existing processes rather than identified any failing.	Ongoing

<p><b>(v) Late entrants to care</b> – explore what more could be done for Looked After Children (LAC) and CP to anticipate and prevent late care entry. The focus will be all cases of YP who are vulnerable to losing places in homeless accommodation, or who are known to be a serious risk of exclusion from home by their parents – this work is in progress as at Jan 2013 with the first phase focusing on the most recent 20 children aged 14+ being scrutinised by senior management team</p> <p>9. All admissions of teenagers into the care system to be agreed in advance at the placement panel – April 13. Any admissions out of panel to be agreed by Head of Service</p> <p>10. Placement Review – an external review of high cost placements to be commissioned / undertaken in the year</p> <p>11. Social Work Advisor (Use of Resources) – in post</p> <p>12. Review of open cases to establish proportion of recent migration into Thurrock of families / children and subsequent entry in care system and demands on service. In addition to monitoring of transfer-in cases.</p>							<p>Apr 2013</p> <p>Apr/Jun 2013 ongoing</p> <p>"</p> <p>"</p>	
<b>Residual Risk Rating</b>	Date:	22/04/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
13. Multi-Agency Safeguarding Hub (MASH) to be implemented from July 2014	July 2014	MASH implementation remains on track for launch in July. MASH implemented.
14. Delivery of Ofsted mock inspection action plan – from November 2013	From Apr 2014	Inspection action plan and preparations continue. Coordinated through the Inspection Project Group.
15. Strategic action should be taken to better manage demand on social care services including engagement with schools, Health and other partner services to ensure that they are using their resources effectively thereby diminishing the compensatory actions being taken by the council.	From August 2014	Newly developed posts including a Service Manager post for Early Offer of Help with specific responsibility for social care will manage three senior practitioners in the localities whose role will be to increase capacity in agencies and ensure that early help is offered to families to reduce need and escalation to children's social care from August 2014.
16. Munro Senior Social Worker – in post	From April 2014	Worker in post. Ongoing. Worker engaged across service improvement and QA activity.
17. Enhanced quality auditing of existing caseloads – external resource brought in to lead and supported by new audit tool	From May 2014	Audit tool implemented including peer auditing process. External resource and expertise in place from May 14. Programme of case auditing is ongoing with learning captured in Audit QA Group and shared with service via managers and SMT meetings.
18. Quarterly regional safeguarding performance benchmarking – monitoring of key indicators of risk and performance	From April 2014	Ongoing. Directors within the region have carried out peer reviews of self-assessment and performance data submitted by the council as part of the sector-led improvement model in Q1. Findings fed back into the service
19. Business case for CONTROCC finance and charging system to support control of financial management	From April 2014	Business case produced. Case to be considered as part of service and corporate IT strategy and transformation programme.

<p>20. Further targeted analysis of cases and performance information to minimise any potential case drift and QA that all alternatives have been explored.</p> <p>21. HOS will chair placement panel including all decisions to accommodate children, which will also include decisions to initiate care proceedings .</p>	<p>From April 2014</p> <p>From Sept 2014</p>	<p>Targeted analysis and actions continue. Improvements have been evidenced in Q1 in several key areas as a result including, reductions in children subject to CP plans, improved position in respect of children seen during assessment and review. This activity remains of critical importance given the continued challenging financial landscape.</p>						
<p><b>Target Risk Rating</b></p>	<p>Target Date:</p>	<p>01/04/2015</p>	<p>Impact:</p>	<p>Critical (4)</p>	<p>Likelihood:</p>	<p>Likely (3)</p>	<p>Rating:</p>	<p>12</p>
<p><b>Revised Residual Risk Rating</b></p>	<p>Date:</p>	<p>17/10/2014</p>	<p>Impact:</p>	<p>Critical (4)</p>	<p>Likelihood:</p>	<p>Likely (3)</p>	<p>Rating:</p>	<p>12</p>

UNMANAGED / INHERENT RISK

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

**Link to Corporate Priority**

Improve Health and Wellbeing

<b>Inherent Risk Rating</b>	Date:	15/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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DASHBOARD

Inherent Risk Rating & Date: 15/04/2014	Residual Risk Rating as at: 15/04/2014	Residual Risk Rating as at: 08/07/2014	Residual Risk Rating as at: 30/09/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2016

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

EXISTING ACTION / RESIDUAL RISK

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

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
5. Embed Programme Management Arrangements – Programme Board and Work Streams (x4)	May 2014	Health and Social Care Transformation Programme Board established and meeting monthly. Four separate Project Groups have been established and are meeting monthly. In addition, an Engagement Group is meeting monthly as is a Quality Assurance Group. Monthly highlights are provided to the Board.
6. Fully develop work stream project plans	May 2014	Project Plans are in the process of being developed for all project groups. This should be done by end July. The delay is due to milestones being unclear – e.g. draft guidance for the Care Act was not published until June.
7. Identify resource requirements needed to enable change to take place	July 2014	Some likely resource requirements have been identified, but a number of assumptions have been made – e.g. in relation to the Care Act. Exact resource requirements are therefore still unknown. Recent work carried out by ADASS and the LGA has suggested that the resource being allocated nationally to support the implementation of the Care Act will be sufficient, but this will be untested until the new duties 'go live'.
8. Develop risk register for each project group	July 2014	Risk registers are in place for the Health and Social Care Transformation Programme relating to each project group.
9. Regional Benchmarking	September 2014	ADASS have set up regional groups with relation to the Care Act, and the Council are also part of the Essex-wide BCF technical group. This is enabling the sharing of best practice, benchmarking, and problem solving.

<b>Target Risk Rating</b>	Target Date:	31/03/2016	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
<b>Revised Residual Risk Rating</b>	Date:	30/09/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
The Council's ICT infrastructure is not optimised to enable the delivery of future business and customer needs. It is based upon aging infrastructure, inefficient architecture design, a complex estate of replicative business applications and dated desktop devices. This is inhibiting: front line service delivery improvement; flexibility for enabling business transformation; disaster recovery / business continuity; and potential reductions in the cost of providing ICT services.								Digital Board Jackie Hinchliffe Chris Stephenson	
Link to Corporate Priority									
A well run organisation									
Inherent Risk Rating		Date:	Refreshed 15/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 15/04/2014	Residual Risk Rating as at: 15/04/2014	Residual Risk Rating as at: 06/07/2014	Residual Risk Rating as at: 06/10/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 30/09/2015
<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>

Comments
<p>Initiatives are currently underway to manage and overcome the risk:</p> <ul style="list-style-type: none"> <li>• Implementation of flexible/ mobile working and Voice Over Internet Protocol (VOIP) telephony to the Civic Offices</li> <li>• External sites being reviewed and rationalised to enable these to be upgraded and enable flexible working</li> <li>• Oracle have been commissioned to undertake a review of the existing Oracle infrastructure and have made recommendations as how to improve its deployment</li> <li>• Serco have been commissioned to develop a technical architecture road map to design the Council's infrastructure so as to optimise future system investments</li> <li>• Serco have been commissioned to undertake a feasibility study to move the server estate off site and into 'the cloud' to improve resilience, Disaster Recovery and reduce costs</li> </ul>



EXISTING ACTION / RESIDUAL RISK

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

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
5. Ongoing monitoring of IS/IT Strategy by the Digital Board	From April 2014	Deliverables within the IS/IT Strategy are being deployed as part of the IT Connects and Thurrock Online programmes 2 <sup>nd</sup> Floor CO2 completed, 1 <sup>st</sup> Floor CO2 underway. CO2/1 Ground Floor plans being developed by Transformation Team						
6. Ongoing monitoring of implementation IS/IT and refurbishment of Civic Offices by the Civic Offices Programme Board and Transformation Board.	From April 2014							
7. Recruitment of ICT Strategy Role in the Commercial Team.	May – Dec 2014	On hold						
8. Review and update the IS/IT strategy to take account of changes due to flexible working and ERP.	From Sept 2014	Current IS/IT deliverables due to be implemented by March 2015. IS/IT strategy refresh to commence post March 2015						
9. Serco commissioned to review server infrastructure with a view to moving existing server farm offsite to a datacentre to improve DR, server resilience, reduce long term costs and move to an IAAS model	From March 2015	Initial Cloud Feasibility Study has identified business benefits, further work on diligence required and in flight						
10. Serco commissioned to undertake a strategic review of ICT architecture to best optimise the Council's infrastructure to enable the delivery of online transformation ambitions	From September 2014	Architecture review in flight						
11. Serco commissioned to propose a new model of IT service that moves away from the legacy Vertex model and is based on industry standard best practice (ITIL and SIAM)	From March 2015	Initial proposal submitted and due diligence underway. Decision to Cabinet in January 2015 with expected implementation from March 2015						
Target Risk Rating	Target Date:	30/09/2015	Impact:	Critical (4)	Likelihood:	Very Unlikely (1)	Rating:	4
Revised Residual Risk Rating	Date:	06/10/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
The Council fails to fully deliver the Medium Term Financial Strategy – The budget envelope is not maintained and/or savings are not delivered to meet forecasted budget deficits. Both or either of these scenarios could lead to service overspends and Council wide financial pressures which would require additional unplanned efficiencies to be made with potential service delivery impacts or the Council having to rely on further contributions from reserves in 2014/15.								Sean Clark / Directors Board	
Link to Corporate Priority									
Theme - A well run organisation									
Inherent Risk Rating		Date:	Refreshed 08/04/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 08/04/2014	Residual Risk Rating as at: 08/04/2014	Residual Risk Rating as at: 10/07/2014	Residual Risk Rating as at: 23/10/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 28/02/2015

Comments
The Council continues to monitor in year spend and is forecasting a breakeven position after mitigating actions were taken earlier in the year.

## EXISTING ACTION / RESIDUAL RISK

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

## FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
6. Ongoing monthly reporting to Directors Board and quarterly reports to Cabinet on the MTFS and 2014/15 budget position.		From Apr 2014	<p>Further pressures of £2.3m were identified for 2014/15 and reported to Cabinet on 2 July 2014. Savings that covered the additional pressures and made headway into the agreed use of reserves were agreed. The decision was taken to build in the savings for transformation, procurement and shared services into the pressures and set savings targets directly to services to meet these pressures. The report to Cabinet in July recognised these pressures and endorsed the management actions to this approach and for the identified savings to stay within the budget envelope. Monitoring of all service budgets continue, especially where there are high value and volatile budgets.</p> <p>Budget update reports presented to Cabinet July, August and Sept 2014. The financial forecast, assuming all savings are implemented predicted a £800K budget surplus for 2014/15 as at 03/09/14 (Cabinet report) but this assumes that no further budget pressures are identified in the current financial year.</p>					
Target Risk Rating	Target Date:	28/02/2015	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6
Revised Residual Risk Rating	Date:	23/10/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

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

DASHBOARD

Inherent Risk Rating & Date: 08/04/2014	Residual Risk Rating as at: 08/04/2014	Residual Risk Rating as at: 10/07/2014	Residual Risk Rating as at: 23/10/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 28/02/2015

Comments
<p>The Council’s budget gap for the three years currently stands at circa £4m. However, this relies on all savings being both agreed and delivered. In addition, Directors Board now monitors the top six riskiest budget proposals on a monthly basis and will revise the budget gap accordingly where these are found not to be deliverable all or in part. The total of these risk proposals stands at £12m over the three years.</p>

EXISTING ACTION / RESIDUAL RISK

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

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
9. Proposals to close funding gap to be finalised	By July 2014	Proposals developed.
10. Cabinet report on proposals to close funding gap.	July 2014	Proposals to close funding gap presented to Cabinet. Cabinet endorse management action to achieve savings and agree, for further development and public consultation, savings for 2014/15 – 2017/18
11. Implementation of plans for the agreed proposals	From Jul/Aug 2014	Management actions in progress for the proposals endorsed by July Cabinet.
12. Review of all non-management delegated proposals by the various O&S committees	July 2014	Overview and scrutiny committees consulted on savings proposals requiring consultation.
13. Further work required to close £6m gap in 2015/16 being carried out by DB	July 2014	DB developed options to close budget gap for 2015/16 developed
14. Review of Capital Programme schemes to challenge need with the view of reducing MRP liabilities in future years	July 2014	Review of the capital programme in progress with the aim of reducing ongoing capital repayments and any recommendations to be reported to Cabinet.
15. Budget update report to August Cabinet	Aug 2014	Cabinet noted the feedback from O&S committees. New proposals agreed for further development and consultation.

16. Budget update report to September Cabinet			Sept 2014		Cabinet noted update on progress.					
17. Overview and scrutiny committee consulted on savings proposals requiring consultation.			Sept 2014		Council calendar cleared for by-election / pre-election period					
18. Savings Summit - cross-party and partners to look at collectively managing the impact on the community.			From Sept 2014							
19. Cabinet note the feedback from O&Ss and any other public consultation and agree savings proposals. Any new proposals agreed for further development and consultation.			Nov2014							
20. Overview & Scrutiny committee consulted on savings proposals requiring consultation			Nov 2014							
21. Cabinet note the feedback from O&Ss and any other public consultation and agree any savings proposals.			Dec 2014							
22. Budget update report to January Cabinet			Jan 2015							
23. Cabinet agree recommended balanced budget and Council Tax for 2015/16 for recommendation to Council			Feb 2015							
24. Council – agree balanced budget and Council Tax for 2015/16			Feb 2015							
25. Savings proposals implemented (earlier where possible)			Mar 2015							
<b>Target Risk Rating</b>			Target Date:	28/02/2015	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
<b>Revised Residual Risk Rating</b>			Date:	23/10/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

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

DASHBOARD

Inherent Risk Rating & Date: 21/03/2014	Residual Risk Rating as at: 21/03/2014	Residual Risk Rating as at: 07/07/2014	Residual Risk Rating as at: 22/09/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/12/2014

Comments
The Council appointed the 'Purfleet Centre Regeneration Limited' consortium as its development partner at the March 2014 Cabinet following conclusion of the Official Journal of the European Union (OJEU) competitive dialogue process. This has reduced the impact of the risks associated with the procurement process but all other risks (in respect of land assembly, reputation etc) remain the same. Work ongoing between the Council and the developer to map out the programme for the delivery of the project.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
1. Land Assembly – Approx 55% of the required land acquired and is managed by the assets team. Cabinet Nov 2011 agreed a first resolution to commence compulsory purchase order (CPO) process for the remaining site. Negotiation with remaining owners continues and managed by CBRE (property & real estate adviser). CBRE available to advise on CPO strategy, negotiations and valuations as required.							Ongoing from 2011	
2. Procurement of development partner – Selected and approved March 2014							Apr 2013 to March 2014	
3. S106 completed and outline planning permission have been secured							"	
Residual Risk Rating	Date:	21/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
4. With the development partner now appointed the project moves into the delivery phase with a great deal of work required between the Council and developer to map out the programme for delivering the project and identify/apportion the various risks that remain.	From April	Ongoing						
5. Preparing for site assembly including potential compulsory purchase orders. Work to begin once developer has obtained outline planning permission.	Sept 2015	Ongoing						
Target Risk Rating	Target Date:	31/12/2014	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:	22/09/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12



## UNMANAGED / INHERENT RISK

Risk Description	Risk Owner								
<p>The Welfare Reform Act 2012 and the Local Government Finance Act 2012 have resulted in major changes to the welfare scheme, aiming to reduce the UK's welfare benefit costs by £18 billion over the next five years and promote work as more beneficial than claiming benefit. Embedded in the Acts are a range of measures designed to simplify, streamline and reform the payment of out of work, income, housing and disability related benefits; re-assess the fitness or otherwise of claimants to work; and provide employment related support.</p> <p>Both Acts have introduced significant reforms to the current system that have a direct impact on Council services:</p> <ul style="list-style-type: none"> <li>– The replacement of Council Tax Benefit with Localised Council Tax Support wef April 2013</li> <li>– The introduction of a "size criteria" and limitation of Housing Benefit within the social rented sector wef April 2013</li> <li>– The limitation of total benefits through an overall household "Benefit Cap" (From July 2013)</li> <li>– The reform of the Disability Living Allowance and its replacement with Personal Independence Plans wef October 2013</li> <li>– The replacement of the abolished elements of the Social Fund which was administered by the Department of Works and Pensions (DWP), by a local scheme. The Council was allocated funding for 2013/2014 and 2014/2015 to create a local scheme to replace Crisis Loans and Community Care Grants which had been part of the social fund. From April 2013 the council set up a grant based scheme known as Essential Living Fund to replace these parts of the Social Fund*.</li> <li>– The replacement of all working age benefits (Income Support, income-related Employment and Support Allowance, income-based Jobseeker's Allowance, Housing Benefit, Child Tax Credits and Working Tax Credit) with a single unified benefit known as Universal Credit (to be completely in place by 2020)</li> </ul> <p>The reforms could lead to:</p> <ul style="list-style-type: none"> <li>– Fewer people in receipt of benefits who may then look to the Council to provide them with a service – e.g. housing, homelessness, adult social care.</li> <li>– Additional demand for Council services as a consequence of demographic and migration changes brought about by the Welfare Reforms (e.g. people moving to Thurrock from London).</li> <li>– The Council having to fund the Essential Living Fund scheme from 2015/16, if the Government decides not to extend the current two year funding arrangements for 2013/14 and 2014/15.</li> </ul>	Roger Harris								
<b>Link to Corporate Priority</b>									
Improve Health and Wellbeing / Encourage and Promote Job Creation and Economic Prosperity / Build Pride, Responsibility and Respect to Create Safer Communities.									
<b>Inherent Risk Rating</b>	<table border="1"> <tr> <td>Date:</td> <td>19/03/2014</td> <td>Impact:</td> <td>Critical (4)</td> <td>Likelihood:</td> <td>Very Likely (4)</td> <td>Rating:</td> <td>16</td> </tr> </table>	Date:	19/03/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
Date:	19/03/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16		

DASHBOARD

Inherent Risk Rating & Date: 19/03/2014	Residual Risk Rating as at: 19/03/2014	Residual Risk Rating as at: 01/07/2014	Residual Risk Rating as at: 16/10/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/03/2015																																																																																																
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Comments
<p>The impact of the changes is being monitored by the Welfare Reform Group. In terms of the specific areas :</p> <ul style="list-style-type: none"> <li>• The Essential Living Fund has had a lower take-up than expected (largely because it is cashless) and the arrangements with Southend are working well. The main risk is over its continuance post 2014/15;</li> <li>• The social sector size criteria has affected nearly 1,000 people. Discretionary Housing Payment has been used to minimise the impact; Housing Benefit arrears have been lower than expected; around 40 households have moved. The risk is over maintaining this position;</li> <li>• The benefit cap only affected a very small number of people and has had minimal impact;</li> <li>• The move from Disability Living Allowance to Personal Independent Plan is being monitored and numbers will grow as people switch at their review point. Delays remain the biggest problem.</li> <li>• Localised Council Tax Support – again arrears are lower than expected but it is causing financial hardship for significant numbers of people, the long-term impact of which is hard to assess at this stage;</li> <li>• Universal Credit – the Work and Pensions Secretary announced in 29 September, that Universal Credit will be rolled out across the country, to all Local Authorities and Jobcentres from February 2015. This will be for new claims from single jobseekers such as people entitled to Job Seekers Allowance, and will include; Housing Costs and Tax Credits. The roll-out to all other categories of people including Couple’s and families with children is continuing in a phased process in all chosen pilot areas, but is expected to be completed by 2016/2017.</li> <li>• Universal Credit has faced significant delays because of IT and other implementation problems. There are opportunities to see if we can get joined up professional Benefits, Money and Employment advice and support services between the Council and the Job Centre Plus/Dept of Works &amp; Pensions.</li> <li>• Movement of families and individuals from other local authorities especially London. There is anecdotal evidence that this is starting to happen although still at a small scale. There is a risk of local services expected to pick up more as numbers increase.</li> </ul>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
1. The Welfare Benefits Reforms task and Finish Group (Lead by Roger Harris, Director of Adults, Health and Commissioning) meets monthly to monitor and evaluate the impact of the different changes. The group provides advice and guidance where relevant to the service departments responsible for the operation and implementation of reforms.	From April 2013
2. The Benefits and Housing service also meet monthly to discuss the Discretionary Housing Payment (DHP) policy and budget to ensure that the fund provides those who have been impacted by benefit cap and under occupancy. DHP is the main financial resource available to the council to help provide the relevant top up for rent for people on Housing Benefit (HB).	"
3. The Council has also set up a Universal Credit Solutions group and a programme board to create the councils project plan for responding to the impact of	"

<p>Universal Credit and to start preparation activities. The start date of Universal Credit in Thurrock and most of the Country (except for Pilot areas) is still unknown. But DWP are using target of April 2016 as a target start date for planning activities.</p> <p>4. The council is also working together with Job Centre Plus (part of Department for Work and pensions) to help develop understanding of each other's services and priorities for Thurrock residents and to help provide an informed holistic services. The Welfare Reforms project team are also working with other council services e.g. children's services, regeneration, Housing, children's centres and Troubled families to develop a partnership agreement and data protection protocols to enable effective joint working and targeting of benefit claimants seeking Employment and skills advice and support. Employment can help take individuals out of benefit dependency</p> <p>5. The Council Tax debt management team are in the process of reviewing the fair debt and bailiff policy to ensure individuals impacted receive as much support as possible during the bailiff and court summons process to recover unpaid council tax. In 2013/2014, about 600 LCTS affected customers had not paid Council tax and many others had been able to do so.</p> <p>6. The council has renewed its Service Level Agreement with Southend Council to continue processing the Essential Living Fund for 2014/2015.</p> <p>7. Housing Service:</p> <p>(i) The Council's Housing services have visited and provided benefits, debt and money advice to council tenants affected by the Benefit cap and under occupancy. They have visited residents at home and at outreach centres e.g. Community Hubs, Children's centres, libraries to provide advice. Although some people have been supported to downsize, there are still more people on the waiting list that need help to do so.</p> <p>(ii) Monitoring and management of potential increased rent arrears/evictions:</p> <ul style="list-style-type: none"> <li>- Rents and Welfare team continuously monitors level of rent arrears and endeavour to make contacts with those affected and provide advice and assistance in order to assist in sustaining their tenancies. A Finance inclusion officer works with tenants affected by the changes, maximizing income and reducing expenditure, this is supplemented by a new SLA with Family Mosaic (partner) providing tenancies and financial advice, and other supporting services to residents.</li> <li>- An Eviction &amp; Prevention Panel tracks all evictions and potential ones in the social sector resulting from the welfare reform, whereby a full consideration is made by the Head of Service prior to a final decision being taken of whether to precede with the evicting process or not.</li> </ul> <p>(iii) Cap on Housing Benefit – Size Criteria (Including exclusion from entitlement to larger property than household requirement):</p> <ul style="list-style-type: none"> <li>- Along with advice and assistance to access services and benefits (provided by the Rents and Welfare team), Housing Solutions teams assist tenants affected by the abovementioned changes in moving to alternative suitable and affordable properties (assistance includes financial incentive to downsize).</li> <li>- A 0.5% decrease in rent collection is currently anticipated as a result of the changes brought by the welfare reforms.</li> </ul> <p>(iv) Homelessness and Temporary Accommodation:</p> <ul style="list-style-type: none"> <li>- Lack of affordability of housing in inner London is resulting in an increased number of homelessness whereby Thurrock area is becoming a logical affordable place for an ad-interim housing for homeless households; Thurrock Private Housing Sector team works with private landlords to promote to maintain standards, and to make more affordable properties available for letting.</li> </ul>	<p>"</p> <p>"</p> <p>"</p> <p>"</p>
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<b>Residual Risk Rating</b>	Date:	19/03/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
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FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
8. The Welfare Benefits Reforms Task and Finish group to continue to meet monthly to monitor the impact and ensure that the council and its partners are working together to respond to known and identified needs where possible to do so.	From April 2014	The Welfare Reform Group is continuing to monitor, review and design ways to support local residents affected by the changes as per above. The group and Chair to review the re-allocation of responsibilities for the start of December when the current welfare benefits coordinator has left.
9. The Universal Credit Programme Board to continue working together with across council services and with partners e.g. DWP/JCP and CVS to plan and prepare for the impact of Universal credit.	"	Universal Credit Programme Board on 25/06/2014, agreed to develop a co-located / joint working team to provide a cohesive and well structured advice and support services for people claiming benefits and needing debt, money or

<p>10. Review the funding and arrangement for Essential Living Fund grant and service delivery after this ends in March 2015</p> <p>11. Housing Service:</p> <p>(i) Continue to provide benefits, debt and money advice to council tenants affected by the Benefit cap and Social Sector Size Criteria / Under Occupancy.</p> <p>(ii) Monitoring and management of potential increased rent arrears/evictions:</p> <ul style="list-style-type: none"> <li>- Rents and Welfare team to continue monitoring the level of rent arrears and endeavour to make contacts with those affected and provide advice and assistance in order to assist in sustaining their tenancies.</li> <li>- Finance inclusion officer to continue to work with tenants affected by the changes, maximizing income and reducing expenditure and Family Mosaic (partner) to continue to provide tenancy and financial advice and other supporting services to resident.</li> </ul>	<p>From Oct 2014</p> <p>"</p>	<p>Employment and skills advice. The aim is to link up services to ensure that good quality expert / professional advice is better targeted at people impacted by the various welfare reforms / Universal Credit when this starts in 2016/2017. By working in this way it is hoped that services will identify vulnerable people early and provide the right level of support and advice as necessary. The partnership agreement with JCP/DWP is going to Cabinet on 02 July 2014, is agreed, this will provide a good opportunity for staff to work together with JCP in Grays to ensure better targeting of employment and skills advice and support services. This will ensure that local business partners are working together to help unemployed people get into employment, training or education. Further to the plan agreed at Directors Board we are now in a position where some JCP staff will come over to the Civic offices to integrate thus providing a more holistic service to the public.</p> <p>Report to be presented to Directors Board to discuss the future of the ELF scheme.</p> <p>Working in partnership with Family Mosaic where referrals are being made for those tenants affected by welfare reform changes, if requested and being supported. Within first 6 months of working in partnership FM reduced rent arrears by over £20,000 and is currently working with 77 tenants. Effective working in partnership with Family Mosaic continues, whereby referrals are being made for those tenants affected by the welfare reform changes, if requested and being supported.</p> <p>The team continue to monitor the arrears and managed to visit over 3000 tenants last year. The number of cases owing more than 7 weeks gross rent was the lowest for over 5 years and this shows early intervention from the team is key to sustaining tenancies. So far the service has supported 288 households addressing their tenancies related issues since the start of the year. The service also made more than 2000 visits since April.</p> <p>A Financial Inclusion Officer continues to support tenants through assisting them with downsizing applications and managed to obtain over £49k in DHP payments, attends the hubs on a weekly basis giving advice on housing and benefits. Attends the children centres on a rota basis offering housing and benefit advice. He has conducted welfare training to LAC's, has trained staff and volunteers at the hubs. Has recently given advice to woman's aid from the refuge centre. A Financial Inclusion Officer continues to support tenants through assisting them with downsizing applications and providing financial advice and assistance. In total 24 under-occupying household have been assisted to downsize since April. The officer continues to attend hubs and children centres on a weekly basis. Advice on housing and benefits is provided on an ad-hoc basis; more than 470 hours of support were offered in both hubs and children centres since April. Also, the officer has provided welfare and benefit support on a more formal basis to at least 248</p>
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<p>- Eviction &amp; Prevention Panel to continue to track all evictions in the social sector resulting from the welfare reform and Head of Service to maintain evaluations to inform judgements on whether to proceed with the eviction process.</p> <p>(iii) Cap on Housing Benefit – Size Criteria (Including exclusion from entitlement to larger property than household requirement). Housing Solutions teams to continue to assist tenants affected by the cap on housing benefit</p> <p>(iv) Homelessness and Temporary Accommodation – Thurrock Private Housing Sector team to continue to work with private landlords to promote to maintain standards, and to make affordable properties available for letting.</p>		<p>households. Nearly 900 households have been formally supported by the Financial Inclusion Officer since the start of that initiative.</p> <p>The rent arrears panel continues to sit fortnightly and all cases including those impacted by welfare reform are discussed. The extra support provided to tenants is assisting in containing the risk of evictions to a large part of those affected. For instance, 465 notices of seeking possessions were made year to date, in comparison with 493 issued during the same period last year. However, the number of tenants evicted has increased in the first part of this fiscal year (26 evictions), and it is expected to be considerably higher than last year. Whilst support is provided at every stage of the process, there is a pattern on disengagement from tenants who are eventually evicted. The rent and welfare team is now intensifying its support to tenants at risk of eviction, with extra emphasis on early interventions.</p> <p>New working and sustainable model of engagement with private landlords developed to ensure compliance and adherence to standards along with considerations being made for incentivising the latter to work with the Authority to facilitate discharge of homeless duties into the private sector via setting up a Social Letting Agency which will ensure that standards are met, quality maintained, and affordability secured. Private landlords are now made an upgraded offer to incentivise them to work with the Authority to facilitate the discharge of Homeless duties into the private sector</p>						
<b>Target Risk Rating</b>	Target Date:	Refresh: 31/03/2015	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:	16/10/2014	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
Failure to maintain the co-ordination of Business Continuity Planning across the Council would lead to the business continuity management arrangements across the Council becoming outdated and ineffective in times of a disruption affecting Thurrock							Lucy Magill / Gavin Dennett	
Link to Corporate Priority								
Build pride, responsibility and respect to create safer communities Encourage and promote job creation and economic prosperity A well-run organisation.								
Inherent Risk Rating	Date:	31/03/2014	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 31/03/2014	Residual Risk Rating as at: 31/03/2014	Residual Risk Rating as at: 04/07/2014	Residual Risk Rating as at: 13/10/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 31/12/2014

Comments
<p>The work of business continuity is permanently ongoing due to the unpredictable nature of occurrence of disruptive events. The new aspect of working with the education department on development of critical incident plans for schools which is not only ensuring that Thurrock schools are resilient in their operation, but also creating an income stream for the department. The project is in its infancy as commenced in March 2014. This project has also led with schools linking in with Thurrock Councils Communications team to explore service level agreements. The Critical Incident Plan for Gable Hall School has been completed and is awaiting final sign off by the head teacher. The team has presented the new service at head teacher briefings for secondary and primary schools within Thurrock. This service will also be promoted at the EXPO in January 2015. There may be issues around meeting the target risk rating of 9 due to the reduction in staffing levels of the Emergency Planning Team and will depend on the Business Continuity review of business continuity sitting with Services Mangers due to the savings and cuts the council have to make.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Update and review of Business Continuity Plans – Majority of service business continuity plans reviewed, returned and work ongoing with some departments to complete outstanding reviews/plans. New Corporate Business Continuity Plan reported to Standards & Audit Committee March 2014.								From Sept 2013 to March 2014
Residual Risk Rating	Date:	31/03/2014	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
2. Ongoing review of business continuity plans	From April 2014	Ongoing. 75% of business continuity plans have been reviewed and returned, those outstanding are being followed up on.						
3. Programme for advice and implementation of critical incident plans for schools commenced.	March 2014	Project commenced March 2014. BC team working with the education department on development of critical incident plans for schools which is not only ensuring that Thurrock schools are resilient in their operation, but also creating an income stream for the department.						
3. Further exercises to take place on critical functions of Council initially (5 exercises planned)	April – Oct	Five service business continuity plans have been exercised with service reviews and considerations given to external Council suppliers and their business continuity arrangements						
4. Re-establishment of Business Continuity Management Group	December 2014	This will be looked at in March 2015 in line with the review of BC moving from the EPT and sitting with Service Managers.						
5. Ongoing programme of exercises to take place on critical functions of the Council	From Oct 2014	No further exercises planned, due to a reduction in the EPT. Possibility of a temporary member of staff to assist.						
6. BC Review of team function		Awaiting the decision if the BC function will be moved from the EPT to Service Managers.						
Target Risk Rating	Target Date:	Refresh 31/12/2014	Impact:	Substantial (3)	Likelihood:	Likely (3)	Rating:	9
Revised Residual Risk Rating	Date:	13/10/2014	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Poor communications leads to an inability to deliver good quality services, deliver on priorities, and effectively manage reputation with local residents, and key stakeholders nationally and regionally which further leads to negative perceptions of the Council resulting in lost opportunities for inward investment, lost opportunities to influence policy, increased local dissatisfaction with the council and community tensions. This is particularly important at a time when the council is facing unprecedented budgetary challenges.								Karen Wheeler	
Link to Corporate Priority									
This links to all corporate priorities and also the additional theme of a well-run organisation and governance.									
Inherent Risk Rating		Date:	15/04/2014	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 15/04/2014	Residual Risk Rating as at: 15/04/2014	Residual Risk Rating as at: 08/07/2014	Residual Risk Rating as at: 19/09/2014	Residual Risk Rating as at:	Target Risk Rating & Target Date: 30/04/2015

Comments
Communications restructure is currently being consulted upon with staff. In the meantime, the team is having to work below core minimum, including covering the recently vacated Marketing manager post. Whilst the consultation continues it will be necessary to prioritise urgent media and communications work only. Once the new structure, if implemented post consultation, is embedded the team will be at core minimum, and will prioritise work more strategically. A paper is going to Leadership Group in October to agree those priorities and the plan and schedules for the remainder of the year. In the meantime, the likelihood of this risk being realised has increased to a 12 rating, but is expected that by the next quarterly report this will have dropped back to a rating of 9



EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented	
1. The Community Strategy, from which the high level priorities and objectives have been taken, was consulted upon extensively with members, local residents, local businesses, voluntary sector and faith partners. The community priorities received cross party support.							Nov 2012	
2. The Corporate Plan was agreed at Cabinet and Council in February 2013.							Feb 2013	
3. New Corporate Branding Guidelines launched in October 2013							October 2013	
4. Re-designed public facing website launched in October 2013 including have your say area for resident feedback, and new My Area and My account areas, twitter account and email alerts							October 2013	
5. Strong relationship with CVS including Joint Strategic Forum								
6. Strong relationship with business community through Business Board and Business breakfasts								
7. On line consultation portal								
8. Communications Team handling all marketing and media management issues etc								
Residual Risk Rating	Date:	15/04/2014	Impact:	Substantial (3)	Likelihood:	Likely (3)	Rating:	9

FURTHER ACTION / TARGET RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
9. Develop Communications Strategy	September 2014	Ongoing – this is awaiting the review of the structure – see item 10						
10. Review of corporate communications structure	December 2014	Initial paper has been developed to be incorporated into the wider CEDU restructure. Team is currently under capacity, an issue which is currently being managed, but if demand increases further could increase risk level.						
11. Paper to Leadership Group outlining new approach to communications, both internally and externally, focussing on a core-minimum, yet more strategic central function, with clarity about what is and is not achievable/appropriate	October 2014	Paper is on forward plan for Leadership Group on 7 October.						
Target Risk Rating	Target Date:	30/04/2015	Impact:	Substantial (3)	Likelihood:	Unlikely (2)	Rating:	6
Revised Residual Risk Rating	Date:	19/09/2014	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

## **Opportunities In Focus**

UNMANAGED / INHERENT OPPORTUNITY

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

DASHBOARD

Inherent Opp. Rating & Date:01/06/2014	Residual Opp. Rating as at:01/06/2014	Residual Opp. Rating as at: 01/07/2014	Residual Opp. Rating as at: 14/10/2014	Residual Opp. Rating as at:	Target Opp. Rating & Target Date: 31/03/2015																																																																																																
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Comments
<p>The opportunities flow directly from the Company's objectives which are to build high quality housing in support of Thurrock's Vision and growth targets. If Gloriana can deliver high quality housing within the financial parameters set in the Business Case approved by Cabinet then much needed affordable housing will be provided for the Borough and a financial return will flow to the Council. The Business Case presented to Cabinet in March included a governance and scheme gateway process to enable the effective management of the opportunities and risks flowing from the project. A general risk register and a specific risk register for the first site, St Chad's in Tilbury, showed that some risks had already been mitigated or mitigation/management actions were already in place. Scheme development risks would remain as key risks to be managed and mitigated in future together with demand risk in relation to letting/selling the properties.</p>

EXISTING ACTION / RESIDUAL OPPORTUNITY

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

FURTHER ACTION / TARGET OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action	Implementation Date	Progress
4. Further actions required to identify and progress additional sites in locations related to Thurrock's strategic growth areas which can best pump prime private sector development.	Sept 2014	Potential sites identified in Grays South, Chadwell St Mary and Purfleet. They require joint working with HRA development and/or third parties. Feasibilities now underway and as the HCA affordable housing and the HRA borrowing bids have been successful these opportunities will be progressed jointly with HRA development.
	March 2015	Feasibilities now underway so this action complete. Revised action to progress development of the identified sites alongside HRA development by March 2015.
5. Additional financial analysis needed to consider relative merits of transfer of Council General Fund land to Gloriana.	<del>Sept 2014</del> March 2015	Brief for work to be agreed with Finance. Relative returns of Gloriana development and open market disposal to be analysed. This action outstanding – implementation date to be amended to March 2015.
6. Further consideration of use of HRA land by Gloriana as HRA reaches borrowing cap.	Sept 2014	Bid made to DCLG to increase HRA borrowing cap as alternative/ additional approach to this issue. Bid approved so this action no longer required in immediate future.
7. Consider opportunities for working with developers in relation to S.106 requirements.	Dec 2014	This is largely a reactive rather than proactive action since it relies on developer activity but one possibility has been identified in South Grays. Further opportunities identified (Williamsons Farm) but depend on developer obtaining planning and progressing the development
8. Consider whether Gloriana could viably purchase land for development in key locations	March 2015	Site identified (Fiddlers Reach) as basis for feasibility.
9. St Chad's and Belmont Rd need to pass through the Gateway review process successfully and commence on site.	March 2015 - St Chad's Summer 2015 - Belmont Rd	St Chad's at Gateway 2 and Belmont Rd at Gateway 3. Both need to get to Gateway 3 for start on site.

<b>Target Opportunity Rating</b>	Target Date:	31/03/2015	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16
<b>Revised Residual Opportunity Rating</b>	Date:	14/10/2014	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16

UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description							Opportunity Owner		
Opportunity to secure significant capital funds through the South East Local Enterprise Partnership's Strategic Economic Plan.							Growth Board (Matthew Essex)		
Link to Corporate Priority									
Priority 2. Encourage and promote job creation and economic prosperity - Objective: Provide the infrastructure to promote and sustain growth and prosperity									
Inherent Opportunity Rating		Date:	03/04/2014	Impact:	Exceptional (4)	Likelihood:	Very Unlikely (1)	Rating:	4

DASHBOARD

Inherent Opp. Rating & Date: 03/04/2014	Residual Opp. Rating as at: 03/04/2014	Residual Opp. Rating as at: 07/07/2014	Residual Opp. Rating as at: 22/09/2014	Residual Opp. Rating as at:	Target Opp. Rating & Target Date: 31/03/2015																																																																																																																							
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The Council has taken greater responsibility within the Thames Gateway South Essex Partnership to lead discussions within the Local Enterprise Partnership (LEP) and ultimately with Government to secure developed Strategic Local Growth Fund monies to support the delivery of a range of capital and revenue projects within Thurrock and elsewhere in TGSE. The initial submission went in at the end of March 2014 and Government announced funding for projects in July 2014. The bulk of the funding announced was for transport related schemes where TGSE and in particular Thurrock won a significant share of the funding committed in the South East Local Enterprise Partnership (SELEP) area, including up to £80m to support the widening of the A13.

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	
Residual Opportunity Rating	Date:	03/04/2014	Impact:	Exceptional (4)	Likelihood:	Unlikely (2)	Rating:	8

FURTHER ACTION / TARGET OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action	Implementation Date	Progress						
4. Coordinate input into negotiation with Government and the LEP	From Apr 2014	Initial feedback received from government and position being analysed.						
5. Review position and develop plans when initial feedback from Government received.	July 2014	Government announcement received July 2014.						
6. Work with SELEP and the relevant Government Departments to access funding announced to develop and implement projects	July onward	Work ongoing						
7. Prepare for the second Growth Deal round expected early 2015	By Jan 2015	Work ongoing						
Target Opportunity Rating	Target Date:	31/03/2015	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16
Revised Residual Opportunity Rating	Date:	22/09/2014	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT OPPORTUNITY

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

DASHBOARD

Inherent Opp. Rating & Date: 09/06/2014	Residual Opp. Rating as at: 09/06/2014	Residual Opp. Rating as at: 07/07/2014	Residual Opp. Rating as at: 22/09/2014	Residual Opp. Rating as at:	Target Opp. Rating & Target Date: 31/03/2015																																																																																																
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<b>Comments</b>
Pooling arrangements established with Basildon Borough Council and the London Boroughs of Barking & Dagenham and Havering. Work in progress to develop a clear delivery programme of activity across the pool to support economic growth. Assessment of financial impact of the pool commissioned and on-going monitoring systems developed.



EXISTING ACTION / RESIDUAL OPPORTUNITY

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

FURTHER ACTION / TARGET OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action		Implementation Date	Progress					
5. Establish a clear delivery programme of activity across the pool to support economic growth		Sept 2014	First pieces of work commissioned and all boroughs contributing to the development of the programme.					
6. Ongoing monitoring and reporting of performance of the pool.		From Apr 2014	Project Board established and monitoring and reporting requirements agreed by the Pool Members.					
7. Commission on-going assessment of performance to assess financial impact of the pool on the members		Sept 2014	Finance Officers from across the Pool working together to assess financial impact of the pool.					
Target Opportunity Rating	Target Date:	Refresh 31/03/2015	Impact:	Exceptional (4)	Likelihood:	Very Likely (4)	Rating:	16
Revised Residual Opportunity Rating	Date:	22/09/2014	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12