

Strategic/Corporate Risk & Opportunity Register October 2019

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	
The risk is that a combination of on-going pressures will result in lack of stability in the care market place resulting ultimately in market failure. Whilst the Council has given additional resource in the form of uplifts, they fall short of what is requested. The domiciliary care rate has been increased with the retender of the domiciliary care contract – this has resulted in greater stability, but difficulties remain. For example, issues concerning recruitment and retention. Hospital capacity is still an issue, but our ability to move people on more quickly has increased as a result of increased investment arising from additional adult social care monies – e.g. improved better care fund and social care precept. The additional funding is however limited which is likely to be an additional risk to stability. There is also a risk that additional capacity is used inappropriately as a backstop due to lack of capacity in domiciliary care. For providers, fees and rates are still an issue and as a result – compounded by the National Living Wage, and despite activity over the last 18 months, the risk of failure is still very real.								Les Billingham	
Link to Corporate Priority									
People - A borough where people of all ages are proud to work and play, live and stay - Build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing.									
Inherent Risk Rating		Date:	13/05/2019	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 13/05/2019	Residual Risk Rating as at: 13/05/2019	Residual Risk Rating as at: 22/10/2019	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2020
<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

Adult Social Care has received additional funding in recent years – through a precept as part of the Council Tax and also through the Improved Better Care Fund. A significant proportion of this money has been used to stabilise the market place and deliver sustainability for care providers. This has included increasing the capacity of the contract and brokerage team to ensure contract compliance visits and monitoring to take place in a timely manner – reducing or aiding early identification of risks. The introduction of a Brokerage function has also meant that more realistic costs and fees are negotiated. In addition uplifts have been provided (as described in the risk description) to improve stability and domiciliary care has been retendered. Through the Better Care Fund, we have also been able to enhance capacity through investment in a Bridging Service and through enhancing existing services to ensure that people can come out of hospital when medically fit to do so – even when they are unable to return home. This has helped to reduce Delayed Transfers of Care and Waiting Lists.

Work is progressing to overcome current challenges. This includes developing a new model of care for domiciliary care. At the beginning of 2018, the new domiciliary care contract started with providers now well established within the Borough. Work has also taking place on alternative approaches to traditional domiciliary care, with two Wellbeing Teams developed and one already launched. Wellbeing Teams will enable us to identify the model required and will focus on enhancing Wellbeing and not just on meeting needs. It will also look at how to encourage people in to the care industry and to professionalise a caring role. In addition, Thurrock is allocated additional funding for the Winter Period which is traditionally a very difficult time for the health and care system. This means that our local system is functioning as well as possible. Despite the work taking place, current pressures are placing an increased strain on this year's financial outturn which unlike previous years may not deliver within budget.

Further work will continue during 19-20 that will contribute towards the stability and sustainability of the market place – including diversification. Despite this, the risk of market failure remains high.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place							Date Implemented
1. New Domiciliary Care Contract 2. Uplifts for providers 3. Development of New Model of Care – Wellbeing Teams 4. Prevention agenda – e.g. Stronger Together, identification and management of Long Term Conditions, Enhanced Primary Care 5. Market Development Strategy 6. Market Diversification – e.g. through Micro Enterprises, Shared Lives 7. Better Care Together Health and Social Care Transformation Programme							In place or ongoing
Residual Risk Rating	Date:	13/05/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating: 12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress				
8. Implementation of Wellbeing Teams pilot 9. Evaluation of Wellbeing Teams pilot 10. Review use of Better Care Fund for 2019-23 11. Review of Winter Planning 12. Market Place Diversification		Throughout 2019/20	Two pilot teams are in place Continual evaluation of the pilot and the service is working with Birmingham University, PHE and the LSE. The BCF has been refreshed and submitted for 2020-2021 Winter Planning has been reviewed as part of the BCF refresh Work continues to diversify the market place including the continued development of micro enterprises and conversations with existing providers about development requirements.				
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating: 12
Revised Residual Risk Rating	Date:	22/10/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating: 12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Failure to manage the increases in demand and budget/resource pressures for Children’s Social Care could lead to a breakdown in the quality or performance of the service provided to vulnerable children and results in less favourable outcomes from inspection and damage to reputation of the service does meet the required standards								Sheila Murphy	
Link to Corporate Priority									
People - A borough where people of all ages are proud to work and play, live and stay – Build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing.									
Inherent Risk Rating		Date:	16/04/2019	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 16/04/2019	Residual Risk Rating as at: 16/04/2019	Residual Risk Rating as at: 07/10/2019	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2020

Comments

This risk evaluates the impact of increased demand and resource pressures on children's social care quality of service and provision. The pressures outlined throughout previous years remain acute. They include increased volumes, increased complexity and ongoing activity to review high cost placements. The implementation of the early help service model and the Thurrock multi-agency safeguarding hub (MASH) has been successful. The service continues to maximize the external investment and opportunities presented through the Troubled Families Programme and continuously measures impact of the MASH.

The service is 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. Areas for improvement have been identified in the Ofsted (SIF) 2016 and the focused visit in 2018

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

The pressures outlined above will not be alleviated in the short term and the risk rating will remain at the higher (red) level for the period covered.

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 a Development Board.								Ongoing
2. Trix Policies and Procedures have been introduced across Children's Social care. All procedures are subject to review and updating.								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.								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.								Ongoing
6. Ofsted inspections and action plans to address recommendations included in inspection reports. Updated October 2018.								Ongoing
Residual Risk Rating	Date:	16/04/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
7. Ongoing implementation and/or application of actions 1 - 6 above.			From Apr 2019	Ongoing				
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	07/10/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Failure to ensure that all children and young people in need of help or protection are safeguarded and supported could result in them not achieving their full potential and increasing the risk of a child death or serious injury.								Sheila Murphy	
Link to Corporate Priority									
People – A borough where people of all ages are proud to work and play, live and stay – Build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing.									
Inherent Risk Rating	Date:	16/04/2019	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16	

DASHBOARD

Inherent Risk Rating & Date: 16/04/2019	Residual Risk Rating as at: 16/04/2019	Residual Risk Rating as at: 07/10/2019	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2020
<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>

Comments

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

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

Embedding the Multi Agency Safeguarding Hub and Early Offer of Help has supported earlier identification of risk through a multi-agency approach enabling the department to work to intervene at an earlier stage and reduce the risk of harm in some cases. The development and implementation of the Thurrock Local Safeguarding Children Partnership arrangements will further improve the inter-agency arrangements to safeguard and promote the welfare of children and young people living in Thurrock.

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

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

Managing this risk places inherent pressures on the Children's Social Care budget as a demand led budget. Effective demand and resource management remain a priority for the service within an overriding context of keeping children safe.

Risk will remain constant throughout the period covered.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Local Safeguarding Children's Board arrangements established								Up to Apr 2019
2. Application of the Southend, Essex & Thurrock Child Protection procedures								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
9. Development of new safeguarding arrangements to meet statutory requirements								Nov 2017 - Feb 2019
Residual Risk Rating	Date:	16/04/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
10. Ongoing implementation and/or application of actions 2-8 above			From Apr 2019	Ongoing				
11. Implementation of Thurrock Local Safeguarding Children Partnership arrangements.			May 2019	Ongoing				
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:	07/10/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
The Council is a significant owner and user of operational property and ensuring that buildings comply with appropriate statutory, regulatory and corporate standards is a significant challenge. In addition to the direct consequences of any incident arising from buildings non-compliance, the Council could be faced with damage to its reputation, financial loss, and individual officers facing legal proceedings and in the worst case, the loss of lives of building users. It is therefore imperative that systems are in place to ensure compliance and manage these risks.							Michelle Thompson Property Manager	
Link to Corporate Priority								
Place – A heritage-rich borough which is ambitious for its future. Fewer public buildings with better services People – A borough where people of all ages are proud to work and play, live and stay – High quality, consistent and accessible public services which are right first time.								
Inherent Risk Rating	Date:	30/05/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 30/05/2019	Residual Risk Rating as at: 30/05/2019	Residual Risk Rating as at: 17/10/2019	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2020

Comments

There has been a long standing lack of clarity over the roles and responsibilities regarding building compliance between the different departments, particularly where the building involves activities crossing more than one discipline within the council. In April 2016, Directors Board approved a proposal to move to a Corporate Landlord model whereby the Corporate Property Team will take on direct management responsibility for all operational properties (excluding HRA properties and parks, etc).

The review of the property service by East of England Local Government Association (EELGA) highlighted an action to review the compliance of Council buildings & remains a key area of focus for the Corporate Property Team.

The council properties (except for HRA and parks) have moved to a new corporate function for repair, maintenance planning and the budgets transferred. The handing over of buildings to Corporate Property has highlighted some inconsistencies with the management of buildings and there are cases of no formal documentation on compliance, utilities, occupational data and operational costs. Records regarding the cut off of utilities are poor particularly in properties that are vacant and liable to unauthorised trespass.

The council are undertaking condition and compliance surveys on 16 corporate landlord buildings. Condition and compliance surveys are also being undertaken on void properties, village halls and properties where a public facing and vulnerable user group are present ensuring that the buildings are surveyed in a priority order against a perceived risk to users. Initial findings are of a concern however and remedial works are planned to address. Training has been undertaken by members of the team on compliance liability

to ascertain risk areas and make informed decisions.

The delays experienced in implementing property procedure rules, asset management strategy, restructure and asset management database has hindered progress to manage the risk. Risk rating remains as 12.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Corporate Health and Safety Committee in place								Ongoing
2. Asset Management Strategy compiled and final draft awaiting DB approval								2018
3. Comprehensive Asbestos Register in place – review being undertaken to ensure accurate building information in place								2018
4. Property Procedure Rules compiled and implemented								Ongoing
5. Scheme of Delegations reviewed, amended and implemented								Ongoing
6. Restructure of Regeneration and Assets Service								From Mar 2019
7. First phase of budget transfer (libraries) undertaken.								June 2018
8. Implementation of planned maintenance for first phase (libraries)								June 2018
9. Regular updates on progress and compliance presented to Property Board								July 2018
10. Retain, Release, Reuse programme for assets implemented								June 2018
11. Implementation of new asset management database to capture all assets and information in one central core								June 2018
12. Corporate Landlord Working Group established								2018
Residual Risk Rating	Date:	30/05/2019	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/or application of actions 1 - 12 above			From Apr 2019	1. Committee established 2, 3, 9 7 11 Ongoing 4. Procedure rules compiled. 5. Scheme reviewed Oct 2019. 6. Assets transferred to Finance & IT Sept 2019 7. Transfer of all phases complete. 8. Planned maintenance undertaken. 10. Reviewed Oct 2019 as part of 5 above. 12. Group established and regular quarterly meetings				
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2020	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:	17/10/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
The Council is responsible for and provides a wide range of functions and services. There is a risk that the Authority experiences significant incidents of fraud, bribery, corruption or other economic crime as well as cases of money laundering. This can subsequently result in losses from the delivery of Council functions and services.								David Kleinberg	
Link to Corporate Priority									
People – a borough where people of all ages are proud to work and play, live and stay. High quality, consistent and accessible public services which are right first time.									
Inherent Risk Rating		Date:	23/05/2019	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 23/05/2019	Residual Risk Rating as at: 23/05/2019	Residual Risk Rating as at: 17/10/2019	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2020

Comments

The Counter Fraud & Investigation service has an organisational-wide strategy and proactive work plan to monitor and manage the identified risks. A persistent training and education regime is in place, where experts from the service work with staff, contractors, members and in the council's supply chain to identify and mitigate the risks, and increase awareness.

The council has current and effective policies on Counter Fraud, Bribery & Corruption and Money Laundering which are kept under constant review. These policies acknowledge the threats and install an action plan in identified incidents including, civil & criminal litigation and redress to recover any identified losses. Any control weaknesses identified in investigations are rectified in collaboration with the affected services and Internal Audit through SMART Action Plans.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented	
1. Establishment & proactive enhancement of CFID								Nov 2014	
2. Fraud and Corruption Policy established and maintained from 2014								From 2014	
3. Counter Fraud Work Plan established and maintained								2017	
4. Regular review of policies and procedures from within the council to ensure that it can prevent, detect and deter and fraud and other economic crime.								From Nov 2014	
5. Counter Fraud and Money Laundering Policies Established and maintained.								2017	
6. Corporate-wide Bribery & Corruption Risk Review								From Oct 2018	
7. Corporate-wide Cyber Crime Risk Review								From Dec 2018	
8. Fraud risk matrix/loss assessment development and roll out								From Jul 2018	
9. Review of supply chain against identified national crime risks								Oct 2018	
10. Ad-hoc services to prevent/detect fraud (e.g. operations to prevent/detect housing tenancy fraud, counter money laundering & social care fraud)								From Oct 2018	
11. Enhanced intelligence programme								Feb 2019	
Residual Risk Rating		Date:	23/05/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date		Progress				
12. Ongoing application of actions 1-11 above			From Apr 2019		1-3. Ongoing 4. E-Learning package for countering fraud, bribery, corruption & money laundering to be developed and implemented 5&6. Work to enhance counter fraud and money laundering controls for Social Care Finance scheduled for Nov 2019. Renewed education and marketing campaign ('see it, report it, stop it') for countering fraud, bribery, corruption and money laundering to be developed and implemented by Jan 2020 7. Data asset registers received and identify where data stored. Analysis of high risk areas to be undertaken Nov 2019 8. Early intervention risk matrix for social housing tenants targeted criminality developed & forecast date for completion March 2020. 9, 10 & 11. Data matching solution to compare NNDR data with law enforcement data to be developed and implemented. National Fraud Initiative (NFI) results to be analysed and appropriate criminal investigations to be followed up by National Investigation Service (NATIS)				
Forecast Risk Rating		Forecast Date:	Refresh 31/03/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating		Date:	18/10/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Failure of the council and / or service managers to coordinate and maintain business continuity plans would lead to service delivery arrangements across the council being ineffective in times of a disruption affecting the council and Thurrock.								Performance Board	
Link to Corporate Priority									
People - A borough where people of all ages are proud to work and place, live and stay – High quality, consistent and accessible public services which are right first time.									
Inherent Risk Rating	Date:	01/04/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12	

DASHBOARD

Inherent Risk Rating & Date: 01/04/2019	Residual Risk Rating as at: 01/04/2019	Residual Risk Rating as at: 01/10/2019	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2020
<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>

Comments

The risk evaluates the position if business continuity plans are not coordinated and maintained, which would lead to service delivery arrangements across the council being ineffective in times of a disruption affecting the council and Thurrock e.g. loss of ICT, loss of use of the Civic Offices.

Oversight of Business Continuity Management is now being provided by Performance Board. The list of current BCPs and critical functions has been updated and will form the basis of ongoing review process by Performance Board and service areas. BCPs are the responsibility of individual service areas.

The Strategic Business Continuity Plan has now been updated and links as appropriate have been made with the emergency planning team. However, Performance Board are continuing their work with services to confirm all areas have up to date BCPs so until that work has concluded, the risk rating will remain the same. Work is also ongoing to update the BCP template and to rollout to DMTs and managers.

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
6. Quality assurance of all BCPs undertaken by services								Apr 2017
7. Audit of outdated service level BCPs undertaken by Performance Board in conjunction with the services Aug 2018 to Feb 2019								February 2019
8. Strategic Business Continuity Plan updated								October 2018
9. Updated the BCP template to incorporate a clear definition of meeting points and alternative working arrangements in line with new ways of working. Also updated the BIA to be used as guidance when completing the BCP								April 2019
Residual Risk Rating	Date:	01/04/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
10. Ongoing review of BCP list by Performance Board			Throughout 2019/20	Ongoing quarterly review				
11. Internal Audit report of BCP process concluded			Sept 2019	Completed				
12. Implement recommendations highlighted by Internal Audit report			January 2020	Ongoing (Action Plan to be drafted & agreed by Performance Board).				
13. Recruitment of Senior Business Continuity Officer			December 2019	Interviews to be held on 10 th October 2019				
14. Review of BC Plans for high risks areas likely to be impacted by Brexit. These include Highways (Operations, Maintenance, Fleet and Network Management), Adult Social Care, and Commissioning.			By 28 th October 2019	Ongoing				
15. Accreditation to be gained by 3 officers within Emergency Planning & Resilience Team			March 2020	This will be a priority post Brexit.				
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2020	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating	Date:	01/10/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

UNMANAGED / INHERENT RISK

Risk Description	Risk Owner
<p>Thurrock Council's Waste Strategy for Thurrock (2008 - 2020) is due to expire in the coming year and requires reviewing and updating to ensure the Strategy continues to be both fit for purpose and will guide and drive forward the way the Council are to meet and exceed the National Targets for Recycling, as laid down in the Waste Strategy For England. Alongside this, a strategic review of the Council's numerous waste disposal contracts that are also due to expire in December 2020, with the exception of the Waste to Energy Recovery contract which runs until March 2024.</p> <p>Central Government have consulted on a number of issues around waste collections, producer responsibilities, a potential of designated waste streams and national consistencies of collection-container identification. Local aspirations are to build a further 32,000 houses within Thurrock over the coming 20 years.</p> <p>A Cross-Party Working Group (CPWG) has been formed, that is made up of elected members of all political parties, and is tasked to create a Vision Statement, which will guide the direction of the Waste Strategy document. Areas of consideration are to include existing and alternative waste collection regimes such as differing collection schedules, waste streams and containerisation options. In addition, alternative options for the treatment & disposal of waste and recyclable materials.</p> <p>Key Risks are as follows:</p> <ul style="list-style-type: none"> • Timeline: The Vision Statement is to be presented to CGS in February 2020 for approval in order to allow time to produce the revised Waste Strategy document for approval by June 2020. The timeline from Vision Statement approval to producing the Waste Strategy is challenging considering the complexity of the process with the numerous elements for consideration. • Government Influences: Regardless of any outcome from the CPWG, central government may exert direct influence on the direction of the Strategy by means of revised legislation around materials collected, container standardisation and new recycling targets. • Political differences: Political agreement is vital to the progression and production of a Waste Strategy that will fulfil the needs of the Council for the next decade. All parties have manifesto's that determines their course of action and while the ultimate aim of increasing recycling rates is a common one, the route by which individual parties do so may be very different and therefore be potentially challenging to reach common ground. A number of elections are scheduled over the coming year and some difficult decisions have to be made to facilitate meeting and exceeding the expectations of a Waste Strategy striving to improve on recycling rates. • Waste Collection Fleet: The Council's Waste Collection fleet was renewed over 2018 at a capital cost of c: £4.5M and any major changes to come from the Strategy review and collection methods may require an early review of the vehicles being used. There is a potential to avoid any major expenditure and choose to tailor a service to fit existing resources, which may not produce the expected outcomes. • Oliver Rd/St Clements Way Depot: The existing site is at capacity and is no longer fit for purpose to support the service delivery, to meet measures of the central government waste strategy and the increased demand for the service linked to the growth in the borough. • Public Opinion: There is the potential where any considerable changes to existing waste collection regimes in Thurrock, while being proposed by the CPWG as a way forward that the Public are not willing to accept, despite early consultation. 	Julie Rogers

Link to Corporate Priority							
Place - a heritage-rich borough that is ambitious for its future. Fewer public buildings with better services People – a borough where people of all ages are proud to work and play, live and stay. High quality, consistent and accessible public services that are right first time. Prosperity – a borough that enables everyone to achieve their aspirations. Commercial, entrepreneurial and connected public services.							
Inherent Risk Rating	Date:	14/10/2019	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating: 16

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Inherent Risk Rating & Date: 14/10/2019	Residual Risk Rating as at: 14/10/2019	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/07/2020

Comments
<p>Cleaner, Greener and Safer Overview and Scrutiny Committee agreed July 2019 to form a cross-party working group (CPWG) to review the waste management arrangements. The recently formed CPWG have met on several occasions and have determined the need for a Public Consultation exercise to better gauge public opinion on a number of influential elements being considered for inclusion within the draft strategy being prepared for July 2020. A briefing-paper presented to Directors Board for consideration and support of a Consultation exercise, was approved in October 2019. Officers have provided information including collection methodologies & regimes, information & educational options and treatment & disposal technologies for consideration by the CPWG. The CPWG approved a final draft of the Consultation structure and wording with a view to launching during January to allow analysis of the results for consideration of inclusion within the draft strategy due in July 2020.</p> <p>A forecast date of 31/07/2020 and forecast rating of 12 has been applied for the risk. The rationale for the evaluation is that the actions to develop and present the draft Waste Strategy are planned to be completed by the end of July 2020 but there is a balance of risk relating to the work that will be undertaken to establish a proposed new site for the depot. The position is scheduled to be reconsidered in the Quarter 1 risk review (scheduled for Apr 2020) and the risk/action plan refreshed accordingly.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Cross Party Waste Management Group set up to develop outline proposal for Vision Statement & Waste Strategy, following agreement by Cleaner, Greener and Safer Overview and Scrutiny Committee.								From Jul 2019 to Nov 2019
Residual Risk Rating	Date:	14/10/2019	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
2. Ongoing application of action 1 above			From Oct	Ongoing. Completed				
3. Identification of suitable depot premises/site and submission of capital bid for financial year commencing 2020 for feasibility study.			Oct 2019					
4. Presentation of a draft strategy to Cleaner, Greener and Safer Overview and Scrutiny Committee			Jul 2020					
5. Feasibility study for proposed depot/premises site			From Apr 2020					
6. Position and way forward with regard to proposed depot/premises site to be reviewed upon completion of feasibility study.			End of March 2021					
Forecast Risk Rating	Forecast Date:	Refresh 31/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
<p>The growth programme in Thurrock continues to be one of the largest and most exciting opportunities in the country. Thurrock’s reputation as a place full of opportunity has helped attract a number of large scale projects including London Distribution Park at the Port of Tilbury, the continuing investment at DP World London Gateway, expansion of Lakeside, Purfleet Regeneration, etc. As a direct result of the scale of the growth agenda in Thurrock the Council will be involved in three National Infrastructure Projects over the coming years.</p> <p>Managing these projects alongside the other key regeneration projects will place significant demands on the Council and ensuring the authority have capacity in key areas is important in maintaining momentum and maximising opportunity for the borough.</p> <p>Failure to increase capacity to meet current, future or competing demands could impact the successful delivery of the major schemes and projects.</p>							Detlev Munster		
Link to Corporate Priority									
<p>Prosperity – a borough which enables everyone to achieve their aspirations:</p> <ul style="list-style-type: none">• Attractive opportunities for businesses and investors to enhance the local economy• Vocational and academic education skills and job opportunities for all. <p>Place – a heritage rich borough which is ambitious for its future:</p> <ul style="list-style-type: none">• Roads, houses and public spaces that connect people and places• Fewer public buildings with better services									
Inherent Risk Rating	Date:	25/04/2019	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16	

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Inherent Risk Rating & Date: 25/04/2019	Residual Risk Rating as at: 25/04/2019	Residual Risk Rating as at: 03/10/2019	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 30/09/2019 31/03/2020

Comments

The Thurrock growth programme crosses many disciplines within the Council. It requires significant programme management capacity from the Regeneration team to lead the programme alongside a joined up approach with other areas of the authority to ensure that relevant specialisms are brought in as required and programmes and strategies are complementary. Investment needs to be committed to project development stages before outputs and benefits are realised, significant levels of funding are committed at risk to prove feasibility and investment then needs to continue to secure the benefits from the initial funding. External funding is committed to numerous projects, whilst this reduces the

financial burden to the Council, compliance with funding agreements must be achieved to ensure the Council is not exposed financially via claw back mechanisms. Projects span numerous financial years and have to be able to respond to changing market, policy and financial conditions. Strong project and programme managers are essential to ensuring that delivery stays on track and investment secures value for money outputs. Increasing resource capacity in the team via Matrix has provided some additional support and approval has been received to secure 1 additional FTE. The project portfolio could benefit from significant external funding in 2020/21 which will put additional pressure on the existing staff resource as more projects are developed. Momentum needs to be maintained in the ongoing restructure to improve working cultures and secure additional resource.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Appropriately qualified team in place.								Ongoing
2. Specialist expertise brought in on a consultancy basis as required.								Ongoing
3. Programme Management methods in place with all projects having a project programme, budget and risk register set up from the outset.								Ongoing
4. Area based Programme Boards operational to ensure cross department buy in.								Ongoing
5. Funding agreements managed to ensure compliance and reduce risk of claw back								Ongoing
6. Include Brexit contingency in all project budgets to cover the potential for increased construction costs due to potential increases in labour/material costs.								From Oct 2018
7. Increase of capacity required in team (additional FTEs)								Mar 2019
Residual Risk Rating	Date:	25/04/2019	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 of actions 1-7 above			From Apr	New agency Programme Managers x2 (June and Aug 2019) and Interim Assistant Director for Place Delivery (Sept 2019) brought into the team.				
9. Establish a ring fenced budget to provide seed funding ensuring that ongoing projects can quickly address any issues arising and new opportunities can be quickly realised.			May 2019	Capital bids submitted for individual projects rather than establishing a feasibility pot. Known projects covered but new opportunities may create in year budget pressures.				
10. Ensure all major capital projects are led by the Regeneration Team			Jun 2019	September 2019, restructure has considered service alignments; project allocation across teams needs to be addressed.				
11. Consider Implementation of a standardised project management software solution.			Jun 2019	Not progressed				
Forecast Risk Rating	Forecast Date:	Refresh 30/09/2019 31/03/2020	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12
Revised Residual Risk Rating	Date:	03/10/2019	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

Opportunities In Focus

UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description								Opportunity Owner	
<p>A mix of approaches (e.g. service reviews, expenditure efficiencies, general income increases, managing demand, transformation, investment, etc.) have been adopted to deliver future balanced budgets and enable services to continue to be provided to meet the needs of residents.</p> <p>All the approaches are important to maintain balanced budgets for the life of the Medium Term Financial Strategy (MTFS) and it is recognised that investments have the greater ability to make significant income with the minimum of impact on service provision (e.g. in recent years the treasury function and activities have contributed approx. £13.7M per annum towards savings/income.</p> <p>The development and implementation of the Treasury Management Strategy and Investment Programme continues to provide the Council with further opportunities to generate significant additional income and contributions towards the delivery of Council services</p>								Sean Clark	
Link to Corporate Priority									
<p>Prosperity – a borough which enables everyone to achieve their aspirations. Commercial, entrepreneurial and connected public services.</p> <p>People – a borough where people of all ages are proud to work and play, live and stay. High quality, consistent and accessible public services which are right first time.</p>									
Inherent Opportunity Rating		Date:	24/05/2019	Impact:	Exceptional (4)	Likelihood:	Unlikely (2)	Rating:	8

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Inherent Opp. Rating & Date: 24/05/2019	Residual Opp. Rating as at: 24/05/2019	Residual Opp. Rating as at: 17/10/2019	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 28/02/2020																																																																																																
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Comments

Investments identified as having the greater ability to make significant income with the minimum of impact on service provision. Treasury Management and Investment Strategy established. Review undertaken and position reported to Council Feb 2019. Ongoing development, review, monitoring and reporting of investment programme (e.g. Cabinet Member report for Finance to Council Jul 2019 and Revenue budget monitoring report to Cabinet Sept 2019).

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place								Date Implemented
1. Update on the Medium Term Financial Strategy and proposed investment approach (including principles) reported to and agreed by Cabinet 11 th Oct 2017.								Oct 2017
2. Follow up on the investment approach and the revisions required to the Treasury Management Strategy reported to and agreed by Council 25 th Oct 2017, including increases to the parameters for how much the council can borrow/invest and changes required to bolster the investment programme (e.g. capital cash investments/expenditure, acquisition or development of revenue generating assets, bringing more sites forward for development through Thurrock Regeneration Ltd).								Oct 2017
3. Capital Strategy (incl Treasury Management Strategy), Annual Minimum Revenue Provision Statement, proposed Prudential Indicators and Treasury Management projections reported to and agreed by Council 27 February 2019, via Cabinet 12 February 2019 and Corporate Overview & Scrutiny Committee 31 rd January 2019								Feb 2019
4. Continue to develop investment programme in line with codes of practice and guidance to Identify further investment opportunities and achieve a balanced portfolio.								From Feb 2019
5. Manage current and explore, develop and implement new opportunities.								From Feb 2019
6. Regularly review/monitor and report on all investments, including new items.								From Feb 2019
Residual Opportunity Rating	Date:	24/05/2019	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action			Implementation Date	Progress				
7. Ongoing implementation or application of actions 4, 5, 6 above			From Apr 2019	4 & 5 Ongoing 6. Regular reporting to Directors Board. Cabinet Member report for Finance (including update on treasury and finance) reported to Council Jul 2019. Revenue budget monitoring report (including treasury and finance position) presented to Cabinet Sept 2019.				
8. Review and report Treasury Management Strategy, Annual Minimum Revenue Provision Statement & Prudential Indicators to Council Feb 2020.			Feb 2020					
Forecast Opportunity Rating	Forecast Date:	Refresh 28/02/2020	Impact:	Exceptional (4)	Likelihood:	Likely (4)	Rating:	12
Revised Residual Opportunity Rating	Date:	17/10/2019	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12