

# **Strategic/Corporate Risk & Opportunity Register July 2020**

## **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 Council working with other agencies and the community have a critical role to play in the response to the crisis, shaping the transition and recovery for the borough, local residents and businesses. Failure to maintain plans and resources to deal with the situation will lead to uncoordinated, delayed or an ineffective response and recovery to the crisis and the Council not complying with the requirements of the Coronavirus and Civil Contingencies Acts.							Directors Board	
Link to Corporate Priority								
All priorities - People, Place & Prosperity, including: People – A borough where people of all ages are proud to work and play, live and stay. <ul style="list-style-type: none"> <li>• High quality, consistent and accessible public services which are right first time.</li> <li>• Build on our partnerships with statutory, community, voluntary and faith groups to work together to improve health and wellbeing</li> </ul>								
Inherent Risk Rating	Date:	01/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 01/07/2020	Residual Risk Rating as at: 01/07/2020	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2021

Comments
Recognised that this is not a short term crisis and there is no easy or quick solution to the situation as the position/challenges faced change regularly. Regular monitoring of the position, issues, planned response and recovery undertaken through gold/silver command structure and currently in line with the measures and guidelines issued by government. Covid-19 response and implications reported to Overview and Scrutiny Committees June and July 2020.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented							
1. Command structure established and regular meetings of gold and silver (Tactical Coordination Group) commands to monitor and review position, issues, plans, response and recovery.	From Mar 2020							
2. Essex Resilience Forum (ERF) multi-agency Strategic Coordinating Group established (includes Thurrock Council) and meeting regularly to coordinate the plans and response for Essex.	March 2020							
3. Working from home arrangements introduced and all staff advised that they will be required to work from home except for those who have been identified as delivering front line services or are required to be in Council buildings.	19 March 2020							
4. Work undertaken with educational establishments to provide provision for priority group of children and young people (e.g. children who have a parent who is a critical worker, vulnerable children and young people).	March 2020							
5. Internet Coronavirus information hub established covering latest Government and Health Information; Thurrock Council Services; Financial Support; Government advice for businesses & services; Fraud, Scams & staying safe online and Bereavement support.	April 2020							
6. Intranet Coronavirus information hub established covering latest Government Information and Advice; Working Arrangements; Self-Isolation & Absences; Looking After Your Health & Wellbeing; FAQs and How To Help Prevent The Spread Of The Virus.	April 2020							
7. COVID19 Working arrangements policy created as a direct response to the pandemic to support working arrangements and to ensure critical Council services continue during these unprecedented times.	23 Apr 2020							
8. Community support network established with partners to provide help for the shielded group and other residents in most need during the outbreak	April 2020							
9. Government initiatives and funding support provided to the Council, Businesses and the Community, including:- Funding to the CCG to enable the Council to support the hospital discharge process; Funding for care homes to cover the costs of implementing infection control measures to reduce transmission; Funds to develop tailored outbreak control plans; Hardship funds for those receiving Council Tax Support; Funds to support the re-opening of High Streets; Funding to address rough sleeping; Upfront payment of Business Rate Grant; Deferral of business rate payments to government; Payment of Social Care Grant and further direct support to Businesses (e.g. Business rate relief; Grant support to Rural and Small Businesses, Hospitality and Leisure sectors; Financial support to those businesses with ongoing premises costs but are not on the rating list).	From March							
10. Regular monitoring and reporting of financial and budget implications (e.g. expenditure, income, council tax, business rates, housing revenue account and capital programme) to Boards and Committees, including regular engagement with Ministry of Housing, Communities and Local Government (MHCLG).	From June							
11. Development and implementation of guidance/risk assessments for Display Screen Equipment and Making the Workplace Safe.	June 2020							
12. Commence transition recovery phase in line with government plans and guidance, including introduction of contract tracing scheme; opening of schools, town and shopping centres; improvements to cycling/walking corridors. Including establishment of Recovery Sub Groups of Tactical Coordination Group established to focus on recovery (e.g. People, Assets and H&S; Children & YP; Business, Finance & Economy and Transport)	From May 2020							
<b>Residual Risk Rating</b>	Date:	01/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date		Progress			
13. Ongoing implementation of actions 1 - 12 above			From 01/07/2020					
14. Establishment of ERF level Recovery Co-ordinating Group			From 03 Jul 2020					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
<p>Work is underway to widen the A13 from 2 to 3 lanes in both directions between the A128 (Orsett Cock roundabout) and the A1014 (The Manorway, Stanford-le-Hope).</p> <p>When complete, the widened section will join with the existing 3-lane section of the A13, west of the A128, providing a continuous 3-lane road in both directions between the M25 and Stanford-le-Hope.</p> <p>As part of the work, 4 bridges will be replaced, the Orsett Cock roundabout will be widened and new traffic lights will be installed to help manage vehicle flows. Public bridges will be built and opened before the old bridges are demolished.</p> <p>The Council is undertaking a number of major projects which place significant demands on the Council and failure to increase capacity to meet the demand could impact the successful delivery of the project.</p>							Anna Eastgate		
Link to Corporate Priority									
Place – A heritage-rich borough which is ambitious for its future. Roads, houses and public spaces that connect people and places Prosperity – A borough which enables everyone to achieve their aspirations. Attractive opportunities for businesses and investors to enhance the local economy									
Inherent Risk Rating		Date:	29/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 29/07/2020	Residual Risk Rating as at: 29/07/2020	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2021																																																																																																																												
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Comments
<p>The A13 corridor is a vital part of the transport network in Thurrock and the south Essex area, enabling the economy to grow through expanding businesses, new housing and more jobs.</p> <p><b>Major economic growth</b> Thurrock and the south Essex area has seen major investment in recent years, including the opening of DP World London Gateway Port and Logistics facility, and the continued development of intu Lakeside retail and entertainment complex. This is part of a planned £20 billion investment in jobs, homes and infrastructure in Thurrock, including</p>

developments led by the private companies at Thames Enterprise Park, Lakeside Basin and the Port of Tilbury. A widened A13 will help support these developments, and also the significant investment planned for other parts of south Essex, including £272 million at Airport Business Park in Southend.

**Excellent transport links:** Thurrock and the south Essex area already has many excellent transport links with London, the rest of the UK and Europe, by road, river and air. The London Gateway Harbour Empowerment Order 2008 gave legal backing for further improvements to the surrounding road network, including widening the A13. This will be a benefit to traffic flow as currently around 77,000 vehicles each day use the A13 between the A128 (Orsett Cock roundabout) and the A1014 (The Manorway, Stanford-le-Hope).

**Funding and partners:** DP World London Gateway have contributed to the costs and the rest from government funding, directed through the South East Local Enterprise Partnership (SELEP).

Ongoing review and monitoring of project and implementation of planned actions to manage identified issues, areas for improvement and potential risks.

#### EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
<ol style="list-style-type: none"> <li>1. Usual project management tools are being used including risk registers, change logs, approvals, clear systems and processes and ways of working etc.</li> <li>2. Appointment of external auditors – Thurrock Council appointed expert transport infrastructure auditors to undertake a detailed review of the scheme. As a consequence there is a clear action plan of project improvements that has been substantially implemented</li> <li>3. Strengthened the project team – Thurrock Council has brought on board an additional project management resource to focus on commercial issues and retained the services of the external auditor. Together, they will work their way through the outstanding compensation events and quotations. Aecom has also brought on board a senior quantity surveyor, risk manager and programme manager.</li> <li>4. Programme challenge workshop – a report identifying ways in which time and cost can be saved. This is already identifying efficiency savings in particular with regard to costs.</li> <li>5. Collaborative planning – the parties are undertaking collaborative planning to understand the inter-dependencies on the project and how they can be effectively managed to avoid impacts on critical path</li> <li>6. Ways of working – co-location of contractors on site to ensure efficient agreement on issues which can then be quickly resolved</li> <li>7. A monthly dashboard reporting mechanism to track blockers and identify ways of relieving them</li> <li>8. Elements of parallel working which can ensure the workforce and plant and equipment is being utilised to maximum effect</li> <li>9. Early warnings and improvements to communication to ensure efficiency</li> <li>10. Full review and monitoring of cost and programme for the project</li> </ol>								November 2019
<b>Residual Risk Rating</b>	Date:	29/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

#### FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
<ol style="list-style-type: none"> <li>11. Ongoing application of actions 1-10 above as appropriate</li> <li>12. Full review and monitoring of impact of COVID-19 on the costs and programme for the project</li> <li>13. Delivery of action of project improvements following commercial audit</li> </ol>			From July 2020					
<b>Forecast Risk Rating</b>	Forecast Date:	Refresh 31/03/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner		
<p>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.</p>							Les Billingham		
Link to Corporate Priority									
<p>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.</p>									
Inherent Risk Rating		Date:	13/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 13/07/2020	Residual Risk Rating as at: 13/07/2020	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2021

Comments
<p>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.</p>



The current Covid-19 Pandemic has added increased strain on providers. For example residential care providers have significant vacancies which is impacting on their ability to generate sufficient income. The Council has provided additional funding recognising the financial impact placed on providers. This includes a 10% temporary financial resilience payment which is available to all providers for the first 16 weeks of the financial year. Since the end of March, the Council has enabled payments to providers to be monthly in advance for at least 16 weeks to help with cash flow. The Government has also made funding available to support care homes with infection control subject to the homes meeting certain conditions. Whether the vacancies will continue following Covid cannot be foretold. In addition, there is an increased risk to the stability of the care market from new UK immigration rules which currently excludes social care staff from the Health and Care Visa.

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 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, 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 8. Implementation and evaluation of Wellbeing Teams pilot 9. Review use of Better Care Fund for 2019-23. Programme for 2020/21 refreshed, submitted and approved 10. Review of Winter Planning (Refreshed as part of BCF review) 11. Market place diversification 12. Workforce Development Strategy – establishment and implementation of regional strategy 13. Additional Funding – Temporary resilience payments, arrangements to assist with cash flow and additional infection control allocated to providers							In place or ongoing	
<b>Residual Risk Rating</b>	Date:	13/07/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
14. Ongoing application and implementation of actions 1-13 above as appropriate		From July 2020						
<b>Forecast Risk Rating</b>	Forecast Date:	Refresh 31/03/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:							

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:	17/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 17/07/2020	Residual Risk Rating as at: 17/07/2020	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2021

Comments
<p>This risk evaluates the impact of increased demand and resource pressures on children's social care quality of service and provision. The pressures outlined throughout previous years remain acute. They include increased volumes, increased complexity and ongoing activity to review high cost placements. The implementation of the early help service model and the Thurrock multi-agency safeguarding hub (MASH) has been successful. The service continues to maximize the external investment and opportunities presented through the Troubled Families Programme and continuously measures impact of the MASH.</p> <p>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 (ILAC) 2019 and a Development Plan has been created to address this.</p> <p>As a consequence of Covid19 since March 2020 there has been a significant impact on the way in which we deliver services within childrens social care. There has been an impact on the budget which is subject to continuous scrutiny.</p> <p>The level and complexity of some children and young people's needs and the lack of available national resources (specialist placements) to meet those needs is driving up cost pressures. As the Council continues to improve practice regarding the identification and tackling of Child 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.</p> <p>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.</p>

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 and a Development Board has been implemented and takes place on a monthly basis.								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 KPI and trends analysis.								Ongoing
6. Ofsted inspections and action plans to address recommendations included in inspection reports. Updated April 2020								Ongoing
Residual Risk Rating	Date:	17/07/2020	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 July 2020					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner/		
Failure to ensure that all children and young people in need of help or protection are safeguarded and supported could result in them not achieving their full potential and increasing the risk of a child death or serious injury.							Joe Tynan		
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.									
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DASHBOARD

Inherent Risk Rating & Date: 17/07/2020	Residual Risk Rating as at: 17/07/2020	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2021																																																																																																																																																						
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Comments
<p>The nature of the work in terms of safeguarding and supporting children at risk of harm means that this will always be a high risk area although through the application of the S.E.T (Southend, Essex &amp; Thurrock) Child Protection procedures the department actively works to mitigate this risk and reduce the likelihood.</p> <p>The risk of children and young people coming to harm cannot be completely eliminated and the risk level needs to remain high and ensure clear vigilance across the council and partner agencies. New and emerging risk factors will arise and there is always a potential for agencies 'not knowing, what they don't know' that needs to be guarded against. 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.</p> <p>The impact for individual children and families, particularly in cases of child death is significant and whilst actions to reduce the likelihood are implemented the impact will remain as critical. There is also a critical impact score in terms of reputational damage should a child death or serious injury occur.</p> <p>The ongoing nature of risk in child protection and safeguarding is such that despite effective mitigation the acknowledgement of the risk needs to remain high and will not reduce. This is not to say that the risks are unmanageable but for effective management the gravity and complexity of the risk needs to be acknowledged.</p> <p>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.</p> <p>Risk will remain constant throughout the period covered.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Development plan in line with Ofsted inspection								Nov 2019
2. Local Safeguarding Children's Partnership arrangements established. Peer Review is currently being undertaken								July 2020
3. Application of the Southend, Essex & Thurrock Child Protection procedures								Ongoing
4. Quality assurance and safeguarding function of Children's Social Care.								Ongoing
5. Legal framework and court action								Ongoing
6. Continue to strengthen the Thurrock Multi Agency Safeguarding Hub and Early Offer of Help								Ongoing
7. Case Audits								Ongoing
8. Quality assurance framework								Ongoing
9. Development plan in line with Ofsted inspection 2019								Apr 2020
Residual Risk Rating	Date:	17/07/2020	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 4-9 above			From July 2020					
11. Development of safeguarding arrangements to meet statutory requirements			From July 2020					
12. Review of Thurrock Local Safeguarding Children Partnership arrangements.			From July 2020					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

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.							Sean Clark		
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:	01/07/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 01/07/2020	Residual Risk Rating as at: 01/07/2020	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2021

Comments
<p>Council properties (except for HRA and parks) moved to corporate function for repair, maintenance planning and budgets transferred. There has been a significant increase of number of properties moving to the Corporate Landlord Function which has resulted in a sharp increase in work streams. Condition and compliance surveys completed and loaded on Concerto database. The Estates Module remains outstanding on Concerto. This is a significant module which will assist with the management of leases and other property related matters and plans are in place to finalise this module by October 2020 as it is resource intensive and currently does not have adequate resources allocated to be able to progress. A draft Corporate Landlord Policy and a draft Corporate Landlord Procedure have been drafted, but can only be finalised once the resourcing requirements of the Corporate Property Team are agreed. The Facilities management function was brought back in house in April 2020 and Corporate Property Team restructure needs to be finalised to strengthen the capacity of the service. There is particular concern that vital roles are being undertaken by contract staff with no contingency or succession planning possible. In addition there is a lack of resource where posts remain vacant and where new resource is required to undertake a greater workload both within the Corporate Property and FM teams. Proposals to refresh governance arrangements for property matters was submitted in March 2020, this included a revised TOR for Property Board, a new reporting structure and an itemised forward plan to support property management, governance and enhance visibility of Corporate Landlord matters. The constitution has been changed limiting requiring consent for all disposal from the Leader or Cabinet. As there are currently no exclusions to this requirement the Assets Team should be obtaining consent for even day to day deminimis transactions, all disposal are on hold until the Director has agreed a way forward. The Covid-19 pandemic resulted in the rapid and unplanned closure of buildings for an unknown period of time and plans/protocols were established and arrangements put in place to ensure the safety of buildings and for critical</p>

staff that needed to work at the Civic Centre. The recommissioning of buildings is being carefully planned to ensure health and safety hazards are managed thereby ensuring buildings are safe for re-occupation. Additionally, the pandemic has necessitated social distancing measures and new working practices to protect staff, visitors and customers from the virus. Risk Assessments and re-occupation plans in accordance with PHE and government guidance are drafted for the Civic Centre and further guidance for other corporate buildings and satellite sites are to be developed and rolled out as appropriate.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented							
1. Corporate Health and Safety Committee established.								Ongoing							
2. Asset Management Strategy drafted, consultation with officers undertaken and final draft awaiting DB approval								2018 & ongoing							
3. Comprehensive Asbestos Register in place – review being undertaken to ensure accurate building information in place								2018 & ongoing							
4. Property Procedure Rules (PPRs) prepared, consulted with officers and key members, awaiting DB approval. Additional Disposals Procedure prepared and submitted for approval in March 2020.								Ongoing							
5. Scheme of Delegations reviewed, amended and implemented.								Ongoing							
6. Restructure of Regeneration and Assets Service completed in September 2019 and Corporate Property Team transferred to Finance. Apleona FM staff TUPE'd in April 2020.								Mar 2019 to Apr 2020							
7. Transfer of all phases and budgets completed								From Jun 2018							
8. Compliance and condition surveys for Corporate Landlord Buildings completed April 2020 and new stock condition baseline established and entered into Concerto (new asset management database system), in June 2020.								Jun 2018 to Jun 2020							
9. Regular updates on progress and compliance presented to Property Board								From July 2018							
10. Retain, Release, Reuse programme for assets implemented								From June 2018							
11. Corporate Landlord Working Group developed and work undertaken until Aug 2019								2018 to Aug 2019							
12. New Planned & Preventative Maintenance (PPM) programme and compliance module developed and proposal submitted in March 2020 to refresh Property Board with key reporting milestones set against a clearly defined annual forward plan.								Mar 2020							
13. Closure of Corporate Buildings due to Covid-19 - Risk assessment, closure protocols & inspection regimes implemented and measures introduced for partial use of Civic Centre and Oliver Road Depot.								March 2020							
<b>Residual Risk Rating</b>								Date:	01/07/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
14. Ongoing implementation and/or application of actions 1 - 13 above, as appropriate.		From July 2020						
15. Development of plans in accordance with government guidance for the recommissioning of corporate buildings due to Covid19		Dec 2020						
16. An urgent review and restructure of the FM team to cover capacity, skills, technical knowledge and capability constraints.		August to Sept 2020						
17. Corporate Landlord Policy and Procedure approved following finalisation of resourcing and governance issue associated with PPRs and restructure approved.		Oct 2020						
18. Finalisation of Concerto Estates Management Module and training for staff		Oct 2020						
19. Review and restructure of the Corporate Property Team		Dec 2020						
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	



## 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 &amp; disposal of waste and recyclable materials.</p> <p>Key Risks are as follows:  <b>Timeline:</b> The draft Waste Strategy is due before CGS in October 2020. This revised timeline was necessary due to the restrictions on face-to-face meetings put in place during the Covid-19 situation. Virtual meetings have now been implemented to allow this issue to progress.  <b>Political Differences:</b> While the Cross Party Working Group (CPWG) is made up of Members from all political parties and political buy-in is positive in terms of participation and allows for constructive input, there is a risk that decisions may become difficult to achieve, particularly as the local elections calendar has effectively removed the 'fallow-year' during which such decisions may be less challenging.  <b>Government Influences:</b> Central Government strategy has determined a number of mandatory changes to waste collection regimes that will directly influence Thurrock's Waste Strategy and will steer local collections that will in turn influence waste-disposal contract needs, potential changes in collection-vehicle specifications and staffing resource needs.</p>	Julie Rogers								
<b>Link to Corporate Priority</b>									
<p><b>Place</b> - a heritage-rich borough that is ambitious for its future. Fewer public buildings with better services  <b>People</b> – 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.  <b>Prosperity</b> – a borough that enables everyone to achieve their aspirations. Commercial, entrepreneurial and connected public services.</p>									
<b>Inherent Risk Rating</b>	<table border="1"> <tr> <td>Date:</td> <td>01/07/2020</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:	01/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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DASHBOARD

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Comments
Cross Party Working Group established to develop strategy. Consultation with public and members completed and outcome from exercise to be reviewed to inform the further work required to develop strategy. Work ongoing with CPWG to further develop the strategy and planned to present draft to Cleaner, Greener & Safer Overview & Scrutiny Committee in October 2020.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented									
<ol style="list-style-type: none"> <li>Cross Party Waste Management Group set up to consider all elements necessary to allow Officers to present a draft of the Waste Strategy, following agreement by Cleaner, Greener and Safer Overview and Scrutiny Committee. These elements include an overview of the outcome from the Public Consultation carried out during March 2020.</li> <li>Fact finding and collation of supporting information and development of outline strategy in readiness for consultation phase.</li> <li>Consultation with stakeholders (e.g. public, members, officers)</li> <li>Review outcomes of public consultation exercise</li> <li>Ongoing further development of strategy</li> </ol>	<p>From Jul 2019 and ongoing</p> <p>From Jul 2019 Feb to Jun 2020</p> <p>From Jun 2020 From Jun 2020</p>									
<table border="1"> <tr> <td><b>Residual Risk Rating</b></td> <td>Date:</td> <td>01/07/2020</td> <td>Impact:</td> <td>Critical (4)</td> <td>Likelihood:</td> <td>Likely (3)</td> <td>Rating:</td> <td>12</td> </tr> </table>	<b>Residual Risk Rating</b>	Date:	01/07/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12	
<b>Residual Risk Rating</b>	Date:	01/07/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12		

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress									
<ol style="list-style-type: none"> <li>Ongoing application of actions 1-5 above as appropriate</li> <li>Draft Waste Strategy to be presented to C,G&amp;S O&amp;SC</li> </ol>	<p>From Jul 2020</p> <p>Oct 2020</p>										
<table border="1"> <tr> <td><b>Forecast Risk Rating</b></td> <td>Forecast Date:</td> <td>31/10/2020</td> <td>Impact:</td> <td>Critical (4)</td> <td>Likelihood:</td> <td>Unlikely (2)</td> <td>Rating:</td> <td>8</td> </tr> </table>	<b>Forecast Risk Rating</b>	Forecast Date:	31/10/2020	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8		
<b>Forecast Risk Rating</b>	Forecast Date:	31/10/2020	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8			
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<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:				

UNMANAGED / INHERENT RISK

Risk Description							Risk Owner	
<p>The Council is responsible for and provides a wide range of functions and services.</p> <p>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.</p>							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:	09/07/2020	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 09/07/2020	Residual Risk Rating as at: 09/07/2020	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2021

Comments
<p>The Counter Fraud &amp; 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.</p> <p>The council has current and effective policies on Counter Fraud, Bribery &amp; 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 &amp; 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.</p>

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
12. Application of Counter Fraud Risk Analytics across the council's high risk/threat areas.								From May 2020
13. Install improved Anti-Money Laundering (AML) controls at all of the council's Customer Contact Points.								From May 2020
14. COVID-19 Business Grants Counter Fraud Programme.								From May 2020
15. Fraud e-learning training programme								Jun 2020
16. Renewed Education & Marketing Campaign for Countering Fraud, Bribery, Corruption and Money Laundering								From Jul 2020
<b>Residual Risk Rating</b>	Date:	09/07/2020	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress						
17. Ongoing application of actions 1-16 above as appropriate.	From July 2020							
<b>Forecast Risk Rating</b>	Forecast Date:	Refresh 31/03/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description		Risk Owner	
<p>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>		Andy Millard	
Link to Corporate Priority			
<p>Prosperity – a borough which enables everyone to achieve their aspirations:</p> <ul style="list-style-type: none"> <li>• Attractive opportunities for businesses and investors to enhance the local economy</li> <li>• Vocational and academic education skills and job opportunities for all.</li> </ul> <p>Place – a heritage rich borough which is ambitious for its future:</p> <ul style="list-style-type: none"> <li>• Roads, houses and public spaces that connect people and places</li> <li>• Fewer public buildings with better services</li> </ul>			
<b>Inherent Risk Rating</b>	Date:	13/07/2020	Impact: Critical (4)
			Likelihood: Very Likely (4)
			Rating: 16

DASHBOARD

Inherent Risk Rating & Date: 13/07/2020	Residual Risk Rating as at: 13/07/2020	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2021

Comments
<p>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</p>

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 approaches and secure additional resource.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
<p><b>1. Overall</b></p> <p>1.1 Managing the impact of various outcomes relating to the UK's exit from the EU</p> <p>1.2 Include Brexit contingency in all project budgets to cover the potential for increased construction costs due to potential increases in labour/material costs.</p> <p>1.3 Managing the impact of COVID-19 on projects and programmes, including assessment on the cost of the programme of all projects</p> <p>1.4 Appropriately qualified team in place.</p> <p>1.5 Specialist expertise brought in on a consultancy basis as required.</p> <p>1.6 Programme Management methods in place with all projects having a project programme, budget and risk register set up from the outset.</p> <p>1.7 Area based Programme Boards operational to ensure cross department buy in.</p> <p>1.8 Funding agreements managed to ensure compliance and reduce risk of claw back</p> <p>1.9 Increase of capacity required in team (additional FTEs)</p> <p>1.10 Standardised project management documentation implemented and consideration of standardised project management software solution.</p> <p>1.11 Continuously improve our ability to deliver projects and share the learnings from other</p>	<p>Ongoing</p> <p>Since Oct 2018</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Mar 2019</p> <p>Jun 2019</p> <p>Ongoing</p>
<p><b>2. Grays Underpass</b></p> <p>2.1 Managing costs within GRIP stages with Network Rail</p> <p>2.2 Information campaign to help prevent accident or incident at level crossing</p> <p>2.3 Performance of Network Rail team monitored and managed through Senior Steering Group</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>
<p><b>3. Navigator Park</b></p> <p>3.1 Work ongoing to scope a deliverable programme</p> <p>3.2 All possible uses for the site continue to be explored</p> <p>3.3 Sufficient resource allocated through the planning application phase</p> <p>3.4 Full assessment of infrastructure risks underway</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>

<b>4. Purfleet Primary School</b>								
4.1 Facilitated discussions with all stakeholders on size of site, budget and programme								Ongoing
<b>5. Tilbury Business Centre</b>								
5.1 Need to ensure funding is available from SELEP for project prior to tender process completion.								Ongoing
<b>6. A13 / A126 East Facing Access Scheme</b>								
6.1 Work on design options continuing to understand impact on surrounding area								Ongoing
6.2 Ongoing dialogue with DfT to negotiate funding arrangements and programme of delivery								Ongoing
<b>7. Stanford le Hope Transport Interchange</b>								
7.1 Steering Group Meetings established including strong engagement from all stakeholders								Ongoing
7.2 Detailed design work being undertaken ahead of tendering for phase 1 contractor								Ongoing
<b>Residual Risk Rating</b>	Date:	13/07/2020	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 application or implementation of actions 1-7 above			Ongoing					
<b>Forecast Risk Rating</b>	Forecast Date:	Refresh 31/03/2021	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12
<b>Revised Residual Risk Rating</b>	Date:		Impact:		Likelihood:		Rating:	

## **Opportunities In Focus**



UNMANAGED / INHERENT OPPORTUNITY

Opportunity Description							Opportunity Owner		
Opportunity to promote the borough and secure investment in growth through SELEP, Thames Estuary Growth Commission and other Government funding sources							Stephen Taylor		
Link to Corporate Priority									
Prosperity – A borough which enables everyone to achieve their aspirations. Attractive opportunities for businesses and investors to enhance the local economy.									
Inherent Opportunity Rating		Date:	22/07/2020	Impact:	Moderate (2)	Likelihood:	Unlikely (2)	Rating:	4

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Inherent Opp. Rating & Date: 22/07/2020	Residual Opp. Rating as at: 22/07/2020	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 31/03/2021																																																																																																																																																
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Comments
<p>The Council has successfully secured approximately £100m in Local Growth Funding to support development of infrastructure supporting growth in Thurrock</p> <p>While there are unlikely to be further bidding rounds for Local Growth Fund support Government have introduced new funding streams including the Towns Fund and Future High Streets Fund. Both Grays and Tilbury have been identified as potential recipients of the Towns Fund which will bring a significant amount of investment into the local economy. Other opportunities to bid for funding are now being developed to help the economy recover from COVID. In the longer term the Shared Prosperity Fund should be introduced to replace LGF and ESIF funding</p>

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place							Date Implemented	
The Council has already taken a number of actions to secure funding: 1. Developing a pipeline of strong proposals for future bidding opportunities as they arise 2. Scanning external funding opportunities to bid for investment in Thurrock 3. Delivery of projects that have already won funding and more robust project management procedures in place to secure spend 4. Dedicating resource to secure funds through bidding opportunities like the Towns Fund 5. Active participation in promoting Thurrock and decision making at an ASELA, LEP, Thames Estuary Growth Board and Government level. 6. Promoting priorities for investment in Thurrock. 7. Horizon scanning for new funding opportunities. 8. Dedicating resource to development of bids for funding when appropriate							From 2014 " " " From Apr 2020 " " "	
<b>Residual Opportunity Rating</b>	Date:	22/07/2020	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action		Implementation Date	Progress					
9. Ongoing application of actions 1-8 above as appropriate 10. Refresh of the project pipeline and preparation of business cases wherever appropriate for Council or third party schemes		From July Sept 2020						
<b>Forecast Opportunity Rating</b>	Forecast Date:	Refresh 31/03/2021	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12
<b>Revised Residual Opportunity Rating</b>	Date:		Impact:		Likelihood:		Rating:	

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.                  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:	15/07/2020	Impact:	Exceptional (4)	Likelihood:	Unlikely (2)	Rating:	8

DASHBOARD

Inherent Opp. Rating & Date: 15/07/2020	Residual Opp. Rating as at: 15/07/2020	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 31/03/2021																																																																																																																							
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Comments
<p>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 2020. Ongoing development, review, monitoring and reporting of investment programme (e.g. Investment Briefing presented to July Council and Standards &amp; Audit Committee).</p>

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 <sup>th</sup> 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 <sup>th</sup> 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 <sup>st</sup> 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. Review of Treasury Management Strategy, Annual Minimum Revenue Provision Statement & Prudential Indicators undertaken and reported to Council Feb 2020.	Feb 2020			
6. Manage current and explore, develop and implement new opportunities.	Ongoing			
7. Regularly review/monitor and report on all investments, including new items.	Ongoing			
<b>Residual Opportunity Rating</b>	Date: 15/07/2020	Impact: Exceptional (4)	Likelihood: Likely (3)	Rating: 12

FURTHER ACTION / FORECAST OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action	Implementation Date	Progress			
8. Ongoing implementation or application of actions 5 and 6 above	From July				
9. Review and report Treasury Management Strategy, Annual Minimum Revenue Provision Statement & Prudential Indicators to Council Feb 2021.	Feb 2021				
<b>Forecast Opportunity Rating</b>	Forecast Date: 31/03/2021	Refresh 31/03/2021	Impact: Exceptional (4)	Likelihood: Likely (3)	Rating: 12
<b>Revised Residual Opportunity Rating</b>	Date:		Impact:	Likelihood:	Rating: