

Strategic/Corporate Risk & Opportunity Register July 2021

In Focus Report

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

Risks In Focus

UNMANAGED / INHERENT RISK

Risk Description		Risk Owner						
<p>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. The recent and ongoing Covid-19 pandemic has highlighted the pressures on the adult social care market and the extent to which local authorities and the nation are dependent upon the market to provide care for the some of the Country’s most vulnerable people. Covid-19 has also seen a significant increase in demand for care which is pushing provider capacity further still. 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:	29/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 29/07/2021	Residual Risk Rating as at: 29/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022

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.

The current Covid-19 Pandemic has significantly increased the strain on providers and the system as a whole. A number of residential care providers have had to close temporarily due to Covid-19 outbreaks and this has significantly reduced available capacity and also the ability of providers to fill vacancies. The situation is likely to continue throughout the pandemic. Staffing is also a major issue, with increasing staff absence across both residential and domiciliary care sectors. This is having a direct impact on the number of people admitted to care homes and the number of hours available to provide care within the domiciliary care sector. This has led to hard decisions having to be made about how and where hours are distributed, which whilst risk assessed, is leading to some people having less care. This has been compounded by an increase in demand for care services during the period of the pandemic. It is unclear as to whether the demand will be limited to the lifecycle of the pandemic or continue beyond its end. There is also a direct impact on family carers who are being relied upon more and are at increased risk of being unable to cope. The pausing of services such as Day Care will contribute to this situation. The Council has asked for volunteers who are prepared to assist – including with the delivery of care.

The Council has provided additional funding to recognise the financial impact placed on providers. This included a 10% financial resilience payment which was made available to all providers for the first 16 weeks of the last financial year (20-21). The Council also enabled payments to providers to be monthly in advance to help with cash flow. The Government 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.

At the same time as the pandemic, capacity issues across the system will be compounded by the usual winter pressures. Capacity depends upon the ability to be able to staff facilities and to cope with the additional demand placed on the system by Covid. Delayed Discharges remain low, which is a reflection of how well Thurrock works with its partners and providers, but the ability to maintain this position is extremely tenuous.

Transformation work is however progressing to attempt to overcome and control current challenges – although some elements of the work will take time to be realised. This includes developing a new model of care for domiciliary care and a regional Workforce Development strategy focusing on external provision. At the beginning of 2018, the new domiciliary care contract started with providers now well established within the Borough, although one of the organisations who were successful in the tender process have failed to deliver the capacity contracted for; this is further evidence of the fragility of this market. Work has also taken place on alternative approaches to traditional domiciliary care, with two Wellbeing Teams now in place. 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.

Despite the work taking place, the risk of market failure remains extremely high. The sheer number of challenges faced by the care market at the current time has led to the risk level being kept at 16.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
<ol style="list-style-type: none">1. New Domiciliary Care Contract2. Uplifts for providers3. Development of New Model of Care – Wellbeing Teams4. Prevention agenda – e.g. Stronger Together, identification and management of Long Term Conditions, Enhanced Primary Care5. Market Development Strategy6. Market Diversification – e.g. through Micro Enterprises, Shared Lives7. Better Care Together Health and Social Care Transformation Programme8. Implementation and evaluation of Wellbeing Teams pilot	Implemented or on-going

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 14. Government funding for providers to help with the impact of Covid 15. Implementation of the appropriate additional capacity in to the system to help maintain flow from Hospital to the Community (e.g. block booking, bridging facility, mutual aid agreement with Essex CC) 16. Review and risk assessment of existing domiciliary care packages to free up additional hours in order to meet increased Covid demand								
Residual Risk Rating	Date:	29/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
17. Continuation and review of management action 1-16 18. Development of a transformation plan for commissioning – including working with providers to develop an alternative approach to the delivery of support within the home		From July 2021 December 2021						
Forecast Risk Rating	Forecast Date:	31/03/2022	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 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 and missed opportunities to support residents and businesses out of the pandemic								Directors Board	
Link to Corporate Priority									
<ul style="list-style-type: none"> All priorities - People, Place & Prosperity 									
Inherent Risk Rating		Date:	01/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 01/07/2021	Residual Risk Rating as at: 01/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022
<p>A 4x4 grid with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is black with value 16.</p>	<p>A 4x4 grid with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is black with value 16.</p>	<p>A 4x4 grid with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is red with value 16.</p>	<p>A 4x4 grid with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is red with value 16.</p>	<p>A 4x4 grid with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is red with value 16.</p>	<p>A 4x4 grid with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (3,3) is black with value 9.</p>

Comments
<p>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. Member Oversight and Engagement Board meet weekly as of the end of October in order to monitor the data frequently and respond to the processes now in place since the introduction of the three tier local COVID alert levels. Ongoing regular reports from June 2020 to boards and committees with regard to the response, recovery and the implications of pandemic. The Council continues to strive to meet the challenge of keeping up with and responding to the latest position and government guidance. Focus is shifting to recovery and how we support residents and businesses as the economy is opened up more. The council and our partners are also looking at how we live with COVID and in the short and medium term. As more restrictions are lifted the infection rate is likely to go up, therefore this will continue to be monitored very closely. Vaccination levels are high in the borough, however the situation is still of great concern and we are yet to fully understand the impact on the wider local economy. Forecast rating of 9 put forward but subject to change as the year unfolds and the situation changes.</p>

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
13. Establishment of ERF level Recovery Co-ordinating Group	From 03 Jul 20
14. Development, release and ongoing review of Thurrock Covid-19 Outbreak Control Plan	From June 20
15. Health Protection Board established.	From 14 Jul 20

16. Public Health contact tracer team and surveillance cell established.								Mid Jul 2020
17. Member Oversight and Engagement Board monitoring of data and response/recovery situation following introduction of the three tier local COVID alert levels								October 2020
18. Continue to respond to latest situation and guidance, including national restrictions, testing and vaccination programmes in place, with weekly briefings to all members & twice weekly minimum public communications								Ongoing
Residual Risk Rating	Date:	01/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
19. Ongoing implementation of actions 1 - 18 above			From 01/07/2021					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2022	Impact:	Substantial (3)	Likelihood:	Likely (3)	Rating:	9
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
Failure to manage the increases in demand and budget/resource pressures for Children’s Social Care could lead to a breakdown in the quality or performance of the service provided to vulnerable children and results in less favourable outcomes from inspection and damage to reputation of the service does meet the required standards								Janet Simon	
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:	26/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 26/07/2021	Residual Risk Rating as at: 26/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022

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 were identified in the Ofsted (ILAC) 2019 and a Development Plan has been created to address this.

As a consequence of Covid19 since March 2020 there has been a significant impact on the way in which we deliver services within children’s social care. There has been an impact on the budget which is subject to continuous scrutiny. The Service has recently had a focused visit in June 2021 with a key focus on the local authority’s arrangements for the protection of vulnerable children from extra-familial risk. A letter will be published by Ofsted on 09th August and the service will update the Development Plan to address any identified learning/improvements. The service is now preparing for the next Ofsted visit which in all likelihood will be a full ILACS inspection. Key focus on Criminal Exploitation.

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 and there has been an increase in youth violence locally.

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. It is anticipated that there will be an increase in volumes of contacts into the service, including court delays regarding management of cases. The lack of available of foster placements and residential placements for children with complex needs is a national issue.

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 report and subsequent visits or inspections are continually reviewed and updated.								Ongoing
Residual Risk Rating	Date:	26/07/2021	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 as appropriate			From July 2021					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2022	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.								Janet Simon	
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:	26/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 26/07/2021	Residual Risk Rating as at: 26/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022

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 is further improving 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 if a child is not safeguarded or 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. The emergence of Covid19 resulted in a number of changes to service delivery. An Operational Procedures document during the Coronavirus outbreak was implemented for some time and is still being reviewed on a regular basis. This document ensures business continuity is maintained following appropriate risk assessments and government guidelines.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. Plan in line with Ofsted inspection in 2019 and will be updated following Focused Visit in June 2021								Nov 2019
2. Local Safeguarding Children's Partnership arrangements established. This has now been completed with action plan in place. This will be reviewed regularly.								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. Continuous Development plan in line with Ofsted inspection 2019, and most recent Ofsted Inspection which is regularly reviewed in the monthly Development Reports								Apr 2020
10. Development of safeguarding arrangements to meet statutory requirements								From July 2020
11. Review of Thurrock Local Safeguarding Children Partnership arrangements.								From July 2020
12. Covid19 protocol implemented and is under constant review								From Apr 2020
Residual Risk Rating	Date:	26/07/2021	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 as appropriate			From July 2021					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2022	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:	01/07/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

DASHBOARD

Inherent Risk Rating & Date: 01/07/2021	Residual Risk Rating as at: 01/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022

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, it is resource intensive and currently does not have adequate resources allocated to be able to progress. Resource has been identified to move this module on however it is unclear if this should progress given the proposed change of IT systems to Microsoft 365. The Management module of Concerto is now live and although the implementation has been and remains labour intensive its use is generally a success. 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. A lack of resource in the FM Team with much increased work load particularly within the security team is a major risk with additional shifts having to be covered by on call agency. FM Team would be further impacted in event of COVID outbreak within the teams, security at Civic Offices and Wardens at Thameside would be covered by contractor. Mailroom and reprographics would be major impact but would need to reduce service initially and call on wider team for assistance.</p>

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 which has resulted in all disposals requiring a ED2 and increased workload. 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 staff that needed to work at the Civic Centre. The recommissioning of buildings was carefully planned to ensure health and safety hazards are managed thereby ensuring buildings were safe for re-occupation. Additional national lockdowns and changes to protocols result in the reversal of that process and add additional resource demand for decommissioning and re commissioning buildings and managing changing Covid Requirements, 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. Due to restriction of staff within Civic Offices no fire marshal system in place, signing in/out procedure, risk if staff do not adhere to system in event of fire evacuation. The Corporate Property Team has been asked to undertake a wider ranging Asset Review with a view to identifying buildings that can be re-tasked or disposed of to generate capital receipts in order to support the overall Council budget. The asset review is progressing and this is a significant piece of work requiring substantial input from an already under resourced team and as it progresses results in significantly more work once assets are identified to dispose of. Workloads generally remain an issue within the Estates and Assets teams which would be significant risk of being highly impacted by long term staff sickness or staff leaving post, this is further exacerbated by key functions within the assets team being covered by agency staff with no other internal options. The current reduction in Capital spend is having a detrimental effect on the day to day management and maintenance of the Council's assets both Operational and Non-Operational as items requiring capital expenditure are potentially deteriorating which will result in additional future cost should the asset remain in the Council's ownership or potential Health and Safety issues if remedial work is not undertaken. The continuing impact of Covid is having a detrimental effect on our Commercial occupiers and will likely impact on the potential expected rental income for this year and next with the number of void properties also likely to increase. Risk to be reviewed in the next review (Quarter 3 2021/22).

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

14. Development of plans in accordance with government guidance for the recommissioning of corporate buildings due to Covid19	Dec 2020
15. An urgent review and restructure of the FM team to cover capacity, skills, technical knowledge and capability constraints.	From August 2020
16. Corporate Landlord Policy and Procedure approved following finalisation of resourcing and governance issue associated with PPRs and restructure approved.	From Oct 2020
17. Finalisation of Concerto Estates Management Module and training for staff	From Oct 2020
18. Review and restructure of the Corporate Property Team	From Dec 2020
Residual Risk Rating	Date: 01/07/2021 Impact: Critical (4) Likelihood: Likely (3) Rating: 12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action	Implementation Date	Progress
19. Ongoing implementation and/or application of actions 1 - 18 above, as appropriate.	From July 2021	
Forecast Risk Rating	Forecast Date: Refresh 31/03/2022	Impact: Critical (4) Likelihood: Likely (3) Rating: 12
Revised Residual Risk Rating	Date:	Impact: Likelihood: Rating:

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
<p>The Council continues to face financial pressures and has a statutory requirement to set an annual balanced budget. This has become significantly more challenging in the context of COVID-19 and the associated financial impact on the Council.</p> <p>Failure to develop plans to set and maintain a balanced budget and/or to manage the potential financial impact of COVID-19 (i.e. combination of projected reductions in locally raised taxes, increased service costs e.g. adult social care providers and expected reductions in fees/charges) could lead to budget pressures and result in service delivery impacts, negative feedback or publicity or in the worse-case, an ultra vires deficit budget position.</p>								Sean Clark Directors Board	
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:	28/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 28/07/2021	Residual Risk Rating as at: 28/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 28/02/2022
<p>A 4x4 matrix with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is black.</p>	<p>A 4x4 matrix with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is black.</p>	<p>A 4x4 matrix with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is black.</p>	<p>A 4x4 matrix with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is black.</p>	<p>A 4x4 matrix with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is black.</p>	<p>A 4x4 matrix with Likelihood on the y-axis (1-4) and Impact on the x-axis (1-4). Values range from 1 to 16. Cell (4,4) is black.</p>

Comments

Regular financial reports presented to members throughout the current financial year.

Budget for 2020/21 has been delivered and a balanced budget for 2021/22 was set, with a remaining gap of £25.349m for the subsequent 2 years (2022/23 and 2023/24) as reported to Cabinet and Corporate Overview & Scrutiny Committee January 2021, prior to full approval by Council in February 2021.

This includes funding announcements in December 2020 but this only covers 1 year. Hence there is uncertainty over the funding for the next 2 years. Additional Covid funding supported the position in 2020/21 and continues to address some pressures in 2021/22. Further progress on delivery of the savings target will continue in 2021/22 and will be reviewed by Cabinet. Further clarity on funding for 2022/23 is expected by December 2021.

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place								Date Implemented
1. 2021/22 budget proposals and MTFS established and reported to Cabinet/Council February 2021 (via Overview and Scrutiny Committee Jan 2021).								Feb 2021
2. Central government funding in response to Covid-19 & ongoing monitoring/reporting of cost to MHCLG								From Apr 2021
3. Update on MTFS & revenue budget reported to Cabinet July 21 (including update on addressing the funding gaps in 22/23 and 23/24)								July 2021
4. Development of savings plans and linked refresh of the MTFS in progress								Ongoing
5. Ongoing discussions with MHCLG in respect of cost pressures and future funding in progress								Ongoing
Residual Risk Rating	Date:	28/07/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
6. Ongoing application of actions 2, 4 & 5 above		Ongoing						
7. Ongoing regular budget monitoring reports, including proposals to reduce the funding gap to Cabinet, via Directors Board and Management Teams.		From July 21						
8. Agreement and reporting of Budget 2021/22 (and 2022/23+)		Feb 2022						
Forecast Risk Rating	Forecast Date:	28/02/2022	Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
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>								Colin Black	
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:	29/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 29/07/2021	Residual Risk Rating as at: 29/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022
<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>	<p>Impact</p>

Comments

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.

Major economic growth

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 Lakeside retail and entertainment complex. This is part of a planned £20 billion investment in jobs, homes and infrastructure in Thurrock, including 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.

UNMANAGED / INHERENT RISK

Risk Description	Risk Owner								
<p>The Waste Strategy for Thurrock was adopted by Cabinet in November 2020. The strategy called for radical changes to the waste collection regime across the borough, including the introduction of a separate weekly food-waste collection and a move to alternate-weekly residual waste collections (AWC). As part of the move to AWC there is a requirement to procure a number of larger and specialised waste collection vehicles via procurement framework. The purchase of these vehicles is critical to the delivery of the new services and the prompt delivery of these vehicles is time-sensitive to ensure the service can commence on time in September-22 and contribute to the budget savings for the year.</p> <p>The consultations of a number of elements within the Waste Strategy for England including Extended Producer Responsibility (EPR), Consistent Collection and more source-separated recycling collections are still being debated and any potential impact on the strategy for Thurrock is not known in full at this time.</p> <p>These consultations may also have an impact on a number of waste-disposal contracts presently being negotiated for tender and some potentially challenging decisions may have to be made in order to have appropriate and suitable disposal arrangements in place, that have the potential to allow variations should the national strategy dictate.</p> <p>Key Risks are as follows: Timeline: The Strategy roll-out is planned to commence in September-22, and in advance of this roll-out a number of elements need to be in place in the lead up to the start-date. Vehicles are needed, the orders have been placed and a programme of phased deliveries established with the providers, over a period of December-21 to August-22, food-caddies will need sourcing, procuring and delivering prior to the commencement of the scheme, a complete overhaul of the existing waste collection-rounds using Route-Optimisation software is necessary with the new routes having been shared with Trade Unions and operational staff and a communications campaign designed and implemented to support the new scheme to ensure residents are fully aware of all changes and expectations. These elements will need to follow a planned schedule in order to be successful.</p> <p>Political Differences: While the Waste Strategy for Thurrock was approved by Cabinet, there have since been concerns raised by a number of elected members around the collection regime proposed within the Strategy. The Political arena has not changed over the last round of elections, however given the vigorous programme of annual elections within the borough there still remains a potential for a change in leadership that may or may not influence the decisions made as part of the Strategy, as while the overall aim is to improve recycling performance the route to this improvement is open to interpretation and individual political direction regardless of the earlier cross-party co-operations.</p> <p>Government Influences: The Central Government continue to consult around various elements of the Waste Strategy for England, some of which may still have direct financial impacts as they come to fruition. The decision to introduce a mandatory separate food-waste collection by 2023 has determined a number of critical decisions had to be made in order to meet this deadline that may now potentially risk not qualifying for government funding being made available due to said decisions already been taken. The Waste Strategy for Thurrock was written to encompass the current National Strategy, however this stance is fluid and there is a continued risk the Waste Strategy may not now fully embrace the statutory demands of National Policy and may still be subject to further discussion and adjustment.</p>	Julie Rogers								
Link to Corporate Priority									
<p>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.</p>									
Inherent Risk Rating	<table border="1"> <tr> <td>Date:</td> <td>01/07/2021</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:	01/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
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DASHBOARD

Inherent Risk Rating & Date: 01/07/2021	Residual Risk Rating as at: 01/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/08/2022																																																																																																			
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Comments
<p>The Waste Strategy for Thurrock has been adopted and preparations for its implementation have begun. National Strategy and Policy are still being consulted upon and decisions are still being finalised. This has the potential to leave the councils strategy for waste at risk of non-compliance in some areas, however as the Strategy is considered a living document, adjustments and amendments are anticipated. If the national strategy becomes such that decisions taken at the start of writing the local strategy may result in service-delivery choices requiring rethinking or changing. The risk is that such choices around vehicle-design etc. are difficult and potentially costly to change once made. Political influence via leadership changes continue to remain a possibility particularly given the program of local elections within the borough.</p> <p>External consultation has been sourced in order to sense-check the strategy against current national policy and a temporary pause placed on part of the new vehicle procurement process, however this remains time-critical and action may be required imminently if considered necessary from the sense-checking.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented									
<ol style="list-style-type: none"> 1. The Waste Strategy for Thurrock was formally approved in November 2020. 2. The procurement process for the new collection vehicles has been completed and the tender awarded to the successful supplier. 3. Orders for the vehicles placed and delivery programme details are in discussion to finalise delivery dates that will ensure the new collection regime can commence as planned in September-22. 	<p>Nov 2020 Completed Orders placed</p>									
<table border="1"> <tr> <td>Residual Risk Rating</td> <td>Date:</td> <td>01/07/2021</td> <td>Impact:</td> <td>Critical (4)</td> <td>Likelihood:</td> <td>Likely (3)</td> <td>Rating:</td> <td>12</td> </tr> </table>	Residual Risk Rating	Date:	01/07/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12	
Residual Risk Rating	Date:	01/07/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12		

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date		Progress									
4. Regular monitoring and consideration of consultations with regard to the Waste Strategy for England and reporting of outcomes and impacts.			From July 2021											
5. Regular monitoring and reporting to Directors Board, Overview & Scrutiny and Cabinet as appropriate.			From July 2021											
6. Food caddy procurement and delivery			From Jan-22 to Aug-22											
7. Route optimisation exercise.			From Jul-21 to Jan-22											
8. Consultation & communication with stakeholders.			Ongoing to Sept 2022											
9. Programme of phased delivery of vehicles			Dec 21 - Aug 22											
10. Roll out of Waste Strategy			Sept 2022											
Forecast Risk Rating			Forecast Date:	31/08/2022					Impact:	Critical (4)	Likelihood:	Unlikely (2)	Rating:	8
Revised Residual Risk Rating			Date:						Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description								Risk Owner	
The Council is responsible for and provides a wide range of functions and services.								David Kleinberg	
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.									
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:	30/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 30/07/2021	Residual Risk Rating as at: 30/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022

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, with relevant updates being added or removed where appropriate. 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.

In the last year the council has come under pressure from COVID-19 and the situation has reduced the traditional work that CFI would complete during a year, however that has not meant the CFI team haven’t assisted in the fight against fraud. Due to the pandemic the government announced a number of grants that were to be administered by local authorities, these were collectively known as Business Support Grants (BSG). The CFI team have worked closely with the Revenues team (those responsible for administering the grants) to complete pre and post assurance checks on all applications that were received. This preventative counter fraud work saw 61 grant applications investigated and stopped, saving over £600,000 of potential losses of public funds.

These risks have sat alongside the 'normal' fraud risks that the council faces every day, namely Single Person Discount fraud, Tenancy Fraud, Right To Buy fraud as well as other forms of fraud such as Procurement/Contract fraud. The fraud awareness programmes that were put to all staff will assist with identifying this risk and early intervention is always key to an organisation combating the risk it faces. These have continued and working alongside our alert system, staff are made aware of fraud trends and or known risks.

Covid 19 has also enabled an easier avenue for 'mandate fraud' which has been highlighted to staff, as we are not in the office spaces we once shared, communication is largely placed within the email systems. This can create the opportunity for criminals to compromise email accounts and facilitate a fraud. Where staff would normally be able to speak directly to a colleague, this now does not happen and must be brought into the risk faced by the council. CFI have been approached by various council who have fallen victim to £1m+ mandate frauds.

CFI has a programme of proactive work proposed to ensure the council's posture against fraud is robust and effective. Details of the proactive work programme are included in the management action plan for the risk.

The risk remains at 12, as new risks have emerged alongside old risks, the new risks have mitigated measures taken, however it is clear that those measures do not affect the 'attempts' we come across and thus it is felt that the risk to the council remains likely and critical. The council can ill afford a substantial loss of funds at this very critical time.

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.								Dec 2020
16. Training of high risk areas in counter fraud measures								From Jun 2021
17. Mandate Fraud – Counter fraud/awareness								July 2021
Residual Risk Rating	Date:	30/07/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
18. Ongoing application of actions 1-17 above as appropriate.		From July 2021						
19. Renewed Education & Marketing Campaign for Countering Fraud, Bribery, Corruption and Money Laundering		Dec 2021						
20. Review all policies concerning fraud aspects		Jan 2022						
21. Targeting POCA and Civil Legislation to maximise effect on criminal behaviour		Jun 2022						
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2022	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Risk Rating	Date:		Impact:		Likelihood:		Rating:	

UNMANAGED / INHERENT RISK

Risk Description	Risk Owner								
<p>There is a statutory requirement on the Council to produce an up-to-date Local Plan to guide the future development and growth of the Borough. Work began on the preparation of the new Local Plan in 2014. The Council's Issues and Options Stage 2 Consultation was undertaken in 2018 and a Report of Consultation published in October 2019. Thereafter a Draft Local Plan (Regulation 18) will be submitted for consultation before moving to the publication of the Local Plan (Regulation 19) and following examination by an independent inspector it is anticipated that the Local Plan will be adopted in 2024.</p> <p>The preparation of a Local Plan is a complex process and as such there are a number of risks which need to be mitigated and/or managed over the period of the plans preparation, all of which have the potential to significantly delay the efficient and effective development of the plan. The key risks which need to be managed in relation to the Thurrock Local Plan are:</p> <ul style="list-style-type: none"> • Uncertainty surrounding the precise alignment, design and phasing of the Lower Thames Crossing (LTC) which could adversely impact on the availability of land for future development and impacts that any further delay in concluding the LTC DCO process will have in constraining the Councils ability to submit a Local Plan for examination. • The on-going impact of Covid-19 on the plan-making process including a significant reduction in the ability of the Council to effectively engage with Local Communities. • A lack of adequate and on-going funding to support the plan-making process. • The impact of ongoing delay in preparing the South Essex Joint Strategic Plan JSP which will provide the strategic context for the preparation of the Local Plan. • An ongoing failure to recruit and retain experienced policy planners to support and expedite the preparation of the Local Plan. • Proposed changes to the planning system which if implemented could involve the Council having halt production of the Local Plan to transition over to the preparation of a different type of Local Plan. • The impact of local and national political considerations on the plan-making process. 	<p>Julie Rogers Sean Nethercott</p>								
Link to Corporate Priority									
<p>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</p>									
Inherent Risk Rating	<table border="1"> <tr> <td>Date:</td> <td>28/07/2021</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:	28/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16
Date:	28/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16		

DASHBOARD

Inherent Risk Rating & Date: 28/07/2021	Residual Risk Rating as at: 28/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022
<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>

Comments
<p>Any failure on the part of the Council to prepare a Local Plan in accordance with the timescale and programme set out the Council's Local Development Scheme will put it at risk of possible intervention by the Secretary of State. Should this occur the Council could lose the ability to plan for future development of Thurrock with its plan-making powers being taken away by the Secretary of State who has the option of directing another body to take over responsibility for preparing the Local Plan.</p> <p>Further sanctions could also come in the form of the loss of the Council's New Homes Bonus and a reduced ability to bid for national funding support for new infrastructure.</p> <p>A failure on the part of the Council to provide a rolling five year land supply would also increase the possibility that land owners and developers would be able to obtain planning permission upon appeal to the Secretary of State for speculative, uncoordinated and piece-meal development in the Green Belt.</p> <p>Finally the reputational damage and harm to the Council could be substantial as would the abortive costs involved in promoting a Local Plan which will be found unsound at examination.</p> <p>Despite the problems caused by lockdown and the pandemic situation, significant progress has been made in moving the Plan forward with a particular focus being on the development of the Local Plan evidence base. Further progress has also been made in rolling out Local Plan Planning Performance Agreements with landowners and developers promoting sites and in building up towards the launch of the Community Design Charrettes which will now start in September.</p> <p>Regular updates on the development of the Local Plan and next steps provided to the Local Development Plan Task Force (a cross party Members working group) and the implications of the Covid-19 pandemic on the project and the plan to be considered throughout the process.</p>

EXISTING ACTION / RESIDUAL RISK

Management Action or Mitigation Already in Place	Date Implemented
<p>In order to manage and/or mitigate the risk of delay to the plan-making process the Council's Local Development Scheme sets out a range of measures designed to reduce the overall risk of the plan production being de-railed due to the impact of a number of internal or external influences. These include</p> <ol style="list-style-type: none"> 1. The adoption of a staged approach to the development of the local plan evidence base, and where appropriate, assessing a range of alternative scenarios (for example with/without LTC) to help better understand the options available for accommodating future development in a range of different locations. 2. The adoption of an evidence based approach to plan-making to ensure that both Members and the Local Community are made fully aware of the implications and impacts of adopting a range of different spatial options. 3. The setting up of Leaders and Members Briefing sessions to build up a better understanding of the issues to be addressed and cross party support for the emerging Local Plan. 4. Measures to both inform and manage land owner and developer expectations and knowledge of the plan-making process as an important first step in building up their confidence and support for the plan-making process and its ability to deliver positive outcomes for all the parties involved. 	<p>February 2014 – ongoing</p>

<p>5. Innovative measures designed to support wider public and stakeholder engagement in the plan-making process</p> <p>Other measures developed and rolled out to manage and/or mitigate the impact of the risk of the local plan process being frustrated include:</p> <p>6. Further and more proactive engagement with Highways England and other Government Departments to bring forward a scheme which promotes rather than hinders the potential for future economic and housing growth in Thurrock.</p> <p>7. Greater use and an expanded role for PPA's in funding the development of the LP evidence base and the recruitment of additional staff resources to assist the plan-making process.</p> <p>8. Increase the frequency and scope of Member and Community engagement in order to go beyond 'the numbers' and focus on the benefits that that further growth can bring to local communities.</p> <p>9. Improved terms and conditions to help recruit and retain experienced planners and greater use of PPAs to expand the capacity of the service to prepare the Local Plan.</p> <p>10. Development of new virtual public consultation platforms and approaches</p> <p>11. Roll out of Thurrock Design Charrette process to commence in December 2020 and conclude June/July 2021.</p> <p>12. Prepare draft Regulation 18 Local Plan for public consultation in summer 2022, including commissioning of a wide range of technical studies and further work to inform the production of the plan</p> <p>13. Roll out of Thurrock Local Plan Planning Performance Agreements (PPA) with site promoters to help fund the preparation of the Local Plan in Sept 2020</p> <p>14. Build capacity with Ministry of Housing Communities and Local Government (MHCLG), Homes England, Department for Transport, Highways England to help ensure the early delivery of homes and supporting infrastructure</p> <p>15. Subject to resources, the recruitment of additional professional and technical support to prepare the plan via direct appointments as full time staff, secondments from consultancies and short term fixed contracts with Public Practice.</p> <p>16. Ongoing development of the technical evidence base to inform the production of a sound and legally compliant draft Local Plan for publication and consultation in 2022.</p> <p>17. Development and implementation of Member Engagement Strategy</p>								<p>From Dec 2020</p> <p>Dec 20 - Jul 21</p> <p>From July 2020</p> <p>From Jul 2020</p> <p>From Jul 2020</p> <p>From Jul 2020</p> <p>From July 2021</p>
Residual Risk Rating	Date:	28/07/2021	Impact:	Critical (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action		Implementation Date	Progress					
18. Ongoing application of items 1-17 above as appropriate		From Jul 2021						
19. Potential for significant changes to the planning system following the publication of the Planning White Paper – Planning for the Future.		2021/22						
20. Thurrock Design Charrettes, Stage 2 – Community Design Charrettes Workshops to be held in Sept & Oct 2021		Sept/Oct 2021						
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2022	Impact:	Critical (4)	Likelihood:	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, Thames Freeport 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>								Sean Clark	
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 					<ul style="list-style-type: none"> • 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 					<ul style="list-style-type: none"> • Fewer public buildings with better services 				
Inherent Risk Rating		Date:	26/07/2021	Impact:	Critical (4)	Likelihood:	Very Likely (4)	Rating:	16

DASHBOARD

Inherent Risk Rating & Date: 26/07/2021	Residual Risk Rating as at: 26/07/2021	Residual Risk Rating as at:	Residual Risk Rating as at:	Residual Risk Rating as at:	Forecast Risk Rating & Date: 31/03/2022

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 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</p>

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 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
1. Overall								
1.1 Managing the impact of various outcomes relating to the UK's exit from the EU								Ongoing
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.								Since Oct 2018
1.3 Managing the impact of COVID-19 on projects and programmes, including assessment on the cost of the programme of all projects								Ongoing
1.4 Appropriately qualified team in place.								Ongoing
1.5 Specialist expertise brought in on a consultancy basis as required.								Ongoing
1.6 Programme Management methods in place with all projects having a project programme, budget and risk register set up from the outset.								Ongoing
1.7 Area based Programme Boards operational to ensure cross department buy in.								Ongoing
1.8 Funding agreements managed to ensure compliance and reduce risk of claw back								Ongoing
1.9 Increase of capacity required in team (additional FTEs)								Ongoing
1.10 Standardised project management documentation implemented and consideration of standardised project management software solution.								Jun 2019
1.11 Continuously improve our ability to deliver projects and share the learnings from other								Ongoing
2. Grays Underpass								
2.1 Managing costs within GRIP stages with Network Rail								Ongoing
2.2 Information campaign to help prevent accident or incident at level crossing								Ongoing
2.3 Performance of Network Rail team monitored and managed through Senior Steering Group								Ongoing
3. Purfleet Primary School								
3.1 Facilitated discussions with all stakeholders on size of site, budget and programme								Ongoing
4. Stanford le Hope Transport Interchange								
4.1 Steering Group Meetings established including strong engagement from all stakeholders								Ongoing
4.2 Detailed design work being undertaken ahead of appointing contractor for phase 1								Ongoing
Residual Risk Rating	Date:	26/07/2021	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12

FURTHER ACTION / FORECAST RISK / REVISED RESIDUAL RISK

Further Management or Mitigating Action			Implementation Date	Progress				
5. Ongoing application or implementation of actions 1-4 above			From 26 Jul 2021					
Forecast Risk Rating	Forecast Date:	Refresh 31/03/2022	Impact:	Substantial (3)	Likelihood:	Very Likely (4)	Rating:	12
Revised Residual Risk Rating	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 to maximise benefit from the growth programme for local residents and businesses. This includes maximising opportunities created by the following: <ul style="list-style-type: none"> • impact of strategic interventions, eg Freeports • third party funding opportunities, eg SELEP • promotion of Thurrock's economic assets and opportunities to attract investment 							Gerard McCleave		
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:	15/07/2021	Impact:	4 (Exceptional)	Likelihood:	1 (Very Unlikely)	Rating:	4

DASHBOARD

Inherent Opp. Rating & Date: 15/07/2021	Residual Opp. Rating as at: 15/07/2021	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 31/03/2022																																																																															
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Comments

The Council has successfully secured significant amounts of Local Growth Fund, Getting Building Fund and other funds to directly deliver projects and programmes that benefit local residents and businesses directly or through investment infrastructure. This year there has already been opportunity to secure investment from the Community Renewal Fund. The Shared Prosperity Fund is expected to be announced in the Autumn and the Council is also expected to apply for Levelling Up Fund later in the year.

The results of the Towns Fund applications submitted in early 2021 have been announced this week and have secured, in principal, around £40m investment in Thurrock subject to business cases and due diligence.

EXISTING ACTION / RESIDUAL OPPORTUNITY

Management Action Already in Place							Date Implemented	
1. Bids for Towns Fund investment in Grays and Tilbury submitted 2. Bidding round for Community Renewal Fund managed – results expected early August 3. Horizon scanning for investment opportunities underway 4. Towns Fund bids - funding announcement 5. Freeport - expression of interest submitted							2020 June 2021 April 2021 July 2021 2021	
Residual Opportunity Rating	Date:	15/07/2021	Impact:	4 (Exceptional)	Likelihood:	3 (Likely)	Rating:	12

FURTHER ACTION / FORECAST OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action	Implementation Date	Progress						
6. Ongoing application of actions 1 - 5 as appropriate 7. Confirmation of Towns Fund Proposals by the Board and signed HoT 8. Development of Towns Fund Business Cases 9. Implementation of CRF projects (if approved) 10. Development of Levelling Up Bid 11. Submission of outline business case for Freeport	From Jul 2021 October 2021 Oct 21- Mar 22 August 2021 Autumn 2021 August 2021							
Forecast Opportunity Rating	Forecast Date:	31/03/2022	Impact:	4 (Exceptional)	Likelihood:	4 (Very Likely)	Rating:	16
Revised Residual Opportunity Rating	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 continue to maintain significant income with the minimum of impact on service provision (e.g. in recent years the treasury function and activities have contributed significant income to support the budget position).</p> <p>The Investment Strategy has been paused but current investments continue to provide the Council with significant levels of income and contribute towards the delivery of wider 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:	29/07/2021	Impact:	Exceptional (4)	Likelihood:	Unlikely (2)	Rating:	8

DASHBOARD

Inherent Opp. Rating & Date: 29/07/2021	Residual Opp. Rating as at: 29/07/2021	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Residual Opp. Rating as at:	Forecast Opp. Rating & Date: 31/03/2022																																																																															
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Comments

Investments identified as having the greater ability to make significant income with the minimum of impact on service provision. Investment Strategy established. Review undertaken and position reported to Council Feb 2021. Ongoing review, monitoring and presentation of investment briefings to Standards & Audit Committee, Cabinet, Council and Overview and Scrutiny Committee; MTFS Update & Revenue Budget Monitoring report to be presented to Cabinet Sept; MTFS Update & General Fund Budget Implications due Cabinet Oct; Financial Update report to Corporate Overview & Scrutiny Committee due Nov. Cross party Shadow Investment Committee established in 2020 and meetings commenced in quarter 3 2021.

The Council's investment strategy has been paused for new activity following changes to central government lending conditions associated with PWLB borrowing. Existing investments continue to deliver significant income to support service delivery. The pause in new activity will reduce the overall projected level of forecast in the MTFS which will be reflected in the associated future budgets.

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).							From 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 st 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 Capital Strategy (including Investment and Treasury Management Strategy), Annual Minimum Revenue Provision Statement & Prudential Indicators undertaken and reported to Council Feb 2021.							Feb 2021	
6. Manage current and explore, develop and implement new opportunities.							Ongoing	
7. Regularly review/monitor and report on all investments							Ongoing	
8. Pause on new activity under the Council's investment strategy.							Ongoing	
9. Cross Party Shadow Investment Committee established and meetings commenced in quarter 3 2021							Q3 2021	
10. Continue to follow agreed democratic oversight arrangements for the Council's investment and capital strategy.							Ongoing	
Residual Opportunity Rating	Date:	29/07/21	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12

FURTHER ACTION / FORECAST OPPORTUNITY / REVISED RESIDUAL OPPORTUNITY

Further Management Action	Implementation Date	Progress						
11. Ongoing implementation or application of actions 6 - 10 above	From Jul 2021							
12. Review and report Capital Strategy (including Investment and Treasury Management Strategy, Annual Minimum Revenue Provision Statement & Prudential Indicators to Council Feb 2022	Feb 2022							
Forecast Opportunity Rating	Forecast Date:	Refresh 31/03/2022	Impact:	Exceptional (4)	Likelihood:	Likely (3)	Rating:	12
Revised Residual Opportunity Rating	Date:		Impact:		Likelihood:		Rating:	