

Risk Status with Controls

Risk Ref	Business Unit	Risk Details	Current Risk Rating				Target		Step 2. Planned Actions				
			03/14	06/14	10/14	12/14	Rating	Target Date	Not Started	In Progress	Implemented	Total	% Implemented
ACC0066	Adult Social Care	Inability to meet the requirements of the Care Act within the national timescales in terms of: 1) Practice and policy changes 2) Increased assessment numbers for adult social care 3) Increased financial burden for additional social care services supplied Controls: •	n/i	n/i	14	14	6		0	0	0	0	0%
ACC0067	Adult Social Care	Increase in the number of carers assessments and services from Apr 15 Controls: <ul style="list-style-type: none"> • Consider development of a self-assessment tool for carers Target Date: 31/03/2015 • Estimate the number of carers likely to approach IWC and estimate the increased costs of this in terms of staffing costs 45% Complete Target Date: 31/12/2014 • Review the charging policy around carers and ability to charge contribution from carer or cared for person Target Date: 31/03/2015 • Estimate the increased costs of providing services to those carers likely to be eligible for services 30% Complete Target Date: 31/12/2014 	n/i	n/i	14	14	9	31/03/2015	2	2	0	4	0%
ACC0068	Adult Social Care	Eligibility criteria (Apr 15) – national standard level of eligibility defined and placed on a statutory footing for both adults in need and carers. Controls: <ul style="list-style-type: none"> • Closely scrutinise the revised guidance and work with SHIP to understand and address Target Date: 31/03/2015 	n/i	n/i	14	14	11	31/03/2015	1	0	0	1	0%
ACL0111	Economy, Tourism and Leisure	Failure to develop a high quality tourism offer. (in terms of natural environment, beaches, attractions, accommodation) Controls: <ul style="list-style-type: none"> • Agreement and delivery of Marketing Campaign for 2013 100% Complete Target Date: 31/12/2012 • Development of a DMO to drive forward the tourism sector 100% Complete • To develop an attractive brand that encourages visitors to the island for a range of experiences 100% Complete 	12	12	12	12	9		0	0	3	3	100%

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ACL0112	Economy, Tourism and Leisure	Failure to support and develop on island business. (Risk to be reviewed as now included aspects of supporting the diversity of the rural economy (former risk 103) & about the skills of the IW workforce not matching demand for new business (former risk 116))	12	12	12	12	9	30/10/2015	0	2	6	8	75%
	Controls:	<ul style="list-style-type: none"> • Develop a range of sector workforce plans with IOW College and other partners 100% Complete • Deliver Superfast Broadband to the rural areas of the Island 50% Complete Target Date: 30/10/2015 • Ensure delivery of Small Rural Towns, RASP and Leader programmes 100% Complete • Delivery of Pre Apprenticeship Initiative 60% Complete Target Date: 30/06/2012 • Development of funding bids to support island businesses 100% Complete • Better information to local business 100% Complete • Development of a "total solutions" package 100% Complete • Development of a business investor network 100% Complete 											
ACL0114	Economy, Tourism and Leisure	Risk that the economic downturn impacts on the achievement of the Council's Corporate Priorities.	12	12	12	12	9		0	0	7	7	100%
	Controls:	<ul style="list-style-type: none"> • Joint working of development of tidal test beds through the Solent Ocean Energy Centre 100% Complete Target Date: 31/03/2013 • Ensure that major programmes and projects are challenged to deliver outcomes within budget and on time. 100% Complete • Monitor progress for achievement of economic development delivery plan 100% Complete Target Date: 31/03/2013 • Monitor key economic indicators 100% Complete • Development of SOREC proposal with ERDF Funding 100% Complete • Work with Local Enterprise Partnership (LEP) to grow the local economy 100% Complete • Development of prospectus , DVD and web to promote inward investment in the renewable energy sector 100% Complete 											
ACL0119	Economy, Tourism and Leisure	Potential non delivery of the revenue uplift (savings) programme	12	12	12	12	6	30/06/2014	4	2	1	7	14%
	Controls:	<ul style="list-style-type: none"> • Manage the potential tension between the political wish to provide subsidised rents... Target Date: 31/03/2014 • Deliver maximised rating savings through rating appeals (2014/15 40% Complete Target Date: 30/06/2014 • Develop a rental (revenue) up-lift strategy 95% Complete Target Date: 30/06/2013 • Deliver programme of new lettings (2013/14) Target Date: 31/03/2014 • Manage the 'conflict' between revenue uplifts and capital receipts (2013/14) Target Date: 31/03/2014 • Ensure outstanding reviews are prioritised (2013/14) Target Date: 31/03/2014 • Identify outstanding rent reviews and lease renewals 100% Complete Target Date: 29/03/2013 											

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ACL0120	Economy, Tourism and Leisure	Non realisation of accommodation rationalisation programme on revenue savings. Controls: <ul style="list-style-type: none"> • Manage the potential tension between the political wish to re-open service buildings... 100% Complete Target Date: 31/03/2014 • Manage expectations of service managers in respect of revenue savings Target Date: 31/03/2014 • Ensure maximum revenue savings are achieved (2013/14) 100% Complete Target Date: 31/03/2014 • Ensure service managers create robust business cases in connection with rationalisation of accommodation. Target Date: 31/03/2014 • Complete asset valuations for 2013/14 90% Complete Target Date: 30/04/2014 • Ensure bi-annual update of strategic asset management plan (SAMP) 15% Complete Target Date: 30/09/2013 • Ensure the Accommodation Rationalisation Programme revenue savings are identified and maximised (2013/14) Target Date: 31/03/2014 	12	12	12	12	5	30/04/2014	3	2	2	7	29%
ACL0123	Economy, Tourism and Leisure	Potential non delivery of the Capital Receipt Programme. Controls: <ul style="list-style-type: none"> • Ensure timely disposal of surplus school sites Target Date: 19/12/2014 • Maximise the value of surplus school sites for disposal 100% Complete Target Date: 31/03/2014 • Ensure sufficient research and background information provided to avoid or negate legal challenges to asset disposal 10% Complete Target Date: 31/03/2014 • Manage competing demands from other council key corporate priorities. 10% Complete Target Date: 31/03/2014 • Manage planning process to avoid adverse outcomes (2013/14) 50% Complete Target Date: 19/12/2014 • Protect IWC land as far as possible from various adverse land applications which prevent development / alternative use. 50% Complete Target Date: 31/03/2014 • Ensure robust S.106 and CIL's viability negotiations on Council development sites 100% Complete Target Date: 31/03/2013 	16	16	16	16	3	19/12/2014	1	4	2	7	29%
ACL0135	Economy, Tourism and Leisure	Failure to comply with CRC legislation Controls: <ul style="list-style-type: none"> • 	14	14	14	14	9		0	0	0	0	0%
ACL0148	Economy, Tourism and Leisure	Parking Operations - failure of handheld/back office software Controls: <ul style="list-style-type: none"> • Tender new contract for back office system 75% Complete Target Date: 30/09/2015 • Si-Dem contract to be extended as it has expired 100% Complete Target Date: 29/03/2013 • Investigate alternative methods of issuing PCNs 100% Complete Target Date: 30/11/2012 • Include as part of the service's Business Continuity Plan Target Date: 31/03/2015 • Maintain excellent working relationship with software provider 100% Complete Target Date: 31/03/2014 	13	13	13	13	10	30/09/2015	1	1	3	5	60%

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ACL0162	Economy, Tourism and Leisure	Floating Bridge - due to the age and condition of the bridge and lack of a definite replacement programme the vessel could be served a prohibition notice by the MCA either as part of its annual inspection or during an investigation following an incident. Controls: <ul style="list-style-type: none"> • Incorporate funding bid into the LEP 25% Complete Target Date: 28/11/2014 • Agree funding and advise the MCA Target Date: 14/01/2015 	16	16	16	16	6	14/01/2015	1	1	0	2	0%
BPS0072	I.C.T.	Lack of resources to deliver against the ICT Service Development Plan along with Business As Usual services. This is compounded by budget cuts to the service whilst trying to balance delivery of key ICT Strategic priorities. The risk is still high due to the potential for staff to leave before the end of contracts Controls: <ul style="list-style-type: none"> • Obtain resources for PSN 35% Complete Target Date: 30/05/2014 • Obtain resources for ICS 100% Complete Target Date: 31/10/2013 • Appoint ICT Infrastructure Project Manager 100% Complete Target Date: 31/05/2013 • Communicate drop in Service Support 100% Complete Target Date: 29/03/2013 • Develop detailed project / resource plans 100% Complete Target Date: 30/09/2013 • Ring fence resources to projects for its duration 100% Complete Target Date: 30/12/2011 	12	12	12	12	6	30/05/2014	0	1	5	6	83%
BPS0081	I.C.T.	Increased risk of inability to support or develop systems due to knowledge being held with individuals Controls: <ul style="list-style-type: none"> • Review future service provision 100% Complete Target Date: 31/03/2014 • Review current risk areas 100% Complete Target Date: 31/05/2013 	12	12	12	12	6		0	0	2	2	100%
CDV0001	Community Development	Insufficient funding from Heritage Lottery Fund and from Capital receipts to build new records office. Controls: <ul style="list-style-type: none"> • Recruit Fundraising Project Manager Target Date: 31/12/2014 • Closely follow Heritage Lottery Fund application process 5% Complete Target Date: 31/12/2014 • Get costed plans from Adkins fro two potential sites 100% Complete Target Date: 28/02/2014 • Find new accommodation Target Date: 01/01/2016 	14	14	14	14	9	01/01/2016	2	1	1	4	25%

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CSF0047	Children's Safeguarding & Family Services	Insufficient stakeholder commitment and delivery Controls: <ul style="list-style-type: none"> Hants CC members represented on Improvement Board 100% Complete Target Date: 31/05/2013 IW Council members represented on Improvement Board 100% Complete Target Date: 31/05/2013 Senior representation from key partners on the Improvement Board 100% Complete Target Date: 31/05/2013 	13	13	13	13	10		0	0	3	3	100%
CSF0048	Children's Safeguarding & Family Services	The need to save £1.5m by 2016/2017 Controls: <ul style="list-style-type: none"> 	n/i	n/i	12	12	8		0	0	0	0	0%
ENS0042	Community Well-being	The risk that Safe and Secure Homes does not enable sufficient affordable and low cost housing to be built and continue to reduce long term empty properties each year. Controls: <ul style="list-style-type: none"> Monitor Housing completion on new properties and highlight at the Strategic Housing Partnership Meeting (Planning Services) 80% Complete Target Date: 01/03/2015 Ensure that enough housing is planned to meet the 520 target through the Island Plan (Planning Services) 92% Complete Target Date: 26/02/2015 Review of the Council Tax long term empty property list 75% Complete Target Date: 31/12/2014 Undertake planning development viability assessment and produce new island plan housing documents 100% Complete To enable the provision of enough affordable housing to meet targets 65% Complete Target Date: 31/12/2014 To deliver a completed new Housing Strategy 40% Complete Target Date: 31/12/2014 To confirm that we accept the new definitions of "affordable housing" and "low cost market housing". 100% Complete 	12	12	12	12	9	01/03/2015	0	5	2	7	29%
ENS0043	Community Well-being	The risk of loss of access to private rented sector accommodation as a resource for homeless households. Negative changes to the Housing Benefit System, downturn in the housing market, employment market on the Island at great risk, reductions in the availability of Homes and Communities Agency Grant (HCA) leading to difficulties in delivering new homes all have the potential to see on-going increase in the level of homelessness on the Island. Controls: <ul style="list-style-type: none"> Promote the use of Choice Based Lettings scheme to PRS landlords as a way of advertising their accommodation 100% Complete Ensure PRS tenancies are sustained 100% Complete Target Date: 29/06/2012 Ensure landlords rent deposit payments are met promptly 100% Complete Target Date: 31/03/2013 Engage with Private Rented Sector (PRS) landlords Accommodation 70% Complete Target Date: 31/03/2013 	12	12	12	12	9	31/03/2013	0	1	3	4	75%

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ENS0075	Community Well-being	Insufficient space to accommodate new records when the corporate retention policy is implemented	12	12	12	12	5	30/08/2013	0	2	0	2	0%
		Controls: <ul style="list-style-type: none"> • Weeding of existing Records Management material 60% Complete Target Date: 30/08/2013 • Investigate suitable affordable temporary storage , when use of exisitbg outstores ends 60% Complete Target Date: 30/08/2013 											
ENS0083	Community Well-being	Failure of the Wight Care Service due to staff recruitment issues, the terms and conditions review and procedure control over critial and standard care.	12	12	12	12	9	15/10/2014	0	1	3	4	75%
		Controls: <ul style="list-style-type: none"> • Review of budget allocation (realign corporately) 100% Complete Target Date: 31/03/2013 • Standby contract with Tungstall's for WightCare service interruptions. 100% Complete • Advanced CRB checks for new recruits 100% Complete • Review with Social Services boundaries of Wight Care duties. 90% Complete Target Date: 15/10/2014 											

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FIA0028	Financial Management	Loss due to fraud.	12	12	12	12	5	31/03/2015	0	8	19	27	70%
		<p>Controls:</p> <ul style="list-style-type: none"> ● Participation in 2012 NFI data submission 100% Complete ● Consider publicity and communication of anti fraud measures 20% Complete Target Date: 31/03/2015 ● Review Contract Standing Orders, Fin Regs and other such polices to check references to fraud prevention 90% Complete Target Date: 30/01/2015 ● Liaise with Benefits Fraud Team ensure joined up 20% Complete Target Date: 31/03/2015 ● Review Staff codes of conduct 50% Complete Target Date: 31/03/2015 ● Review of recruitment procedures, references, CRB checks 100% Complete ● Review of Gifts and hospitality and Register of interest policies and procedures 20% Complete Target Date: 31/03/2015 ● Research into levels of fraud in other public sector organisations 25% Complete Target Date: 31/03/2015 ● Transparency Information Published 100% Complete Target Date: 29/03/2013 ● Appointed Monitoring Officer and S151 officer 100% Complete ● Complaints procedure 100% Complete Target Date: 01/04/2008 ● Procurement code and Contract standing Orders 100% Complete ● Gifts & Hospitality Policy 100% Complete ● Register of interests policy 100% Complete ● Member code of conduct 100% Complete ● Staff Code of Conduct 100% Complete ● Review of money laundering procedure 100% Complete Target Date: 28/03/2014 ● Consider segregation of duties, report from Pwc annually , on major systems audit reviews 100% Complete Target Date: 28/02/2013 ● Anti-Fraud and Corruption Policy Review. 50% Complete Target Date: 31/03/2015 ● Register of irregularities 100% Complete Target Date: 31/12/2012 ● National Fraud Initiative Data Matching 90% Complete Target Date: 30/01/2015 ● Whistle Blowing Policy 100% Complete ● Benefits Investigation Team 100% Complete ● Review of Financial Controls in Core Business Systems as part of annual systems audits by PwC. 100% Complete Target Date: 28/06/2013 ● Audit Committee 100% Complete ● Regular Audits by District Audit and Internal Audit 100% Complete ● Established Audit and Accountancy Functions 100% Complete 											

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FIA0057	Financial Management	<p>Concessionary fares spend escalates beyond an affordable level.</p> <p>The number of journeys being taken under the scheme is increasing as is the number of people entitled to benefit from the scheme. Additionally the DfT inflation level is unknown each until it is set which also has the potential to increase the cost</p> <p>Controls:</p> <ul style="list-style-type: none"> • Review and Remove discretionary element of services 25% Complete Target Date: 30/09/2015 • Renegotiation of contract with Go-Ahead 50% Complete Target Date: 27/02/2015 • Monitor current lobbying of Central Government via LGA/NGA 100% Complete • Monitor upward trend in journeys taken to properly calculate the level of financial risk to which the IWC is exposed 100% Complete 	n/i	n/i	14	14	11	30/09/2015	0	2	2	4	50%
FIA0058	Financial Management	<p>The contract with Island Roads results in a higher annual charge than is presently budgeted, owing to:-</p> <ul style="list-style-type: none"> -Inflation increases beyond amount forecast -Interest rates remain low leading to shortfall in income generation -Income collection assumption incorrect and underachieves against £400k per annum target -Additions to the unitary charge from projects such as new housing developments, junction developments, etc. -Extras to the contract (e.g. traffic management plans for festivals etc.) <p>Controls:</p> <ul style="list-style-type: none"> • review and update cash flow projections Target Date: 27/02/2015 • Review investment opportunities for surplus cash 50% Complete Target Date: 31/12/2014 • Review inflation risk hedging products Target Date: 31/12/2014 	n/i	n/i	12	12	6	27/02/2015	2	1	0	3	0%

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LDI0007	Legal Services	Insufficient or poor quality court documentation by Children's Services combined with staff shortages over the summer months and the PLO officer post currently standing vacant	12	12	12	12	5	31/12/2014	0	3	9	12	75%
		Controls: <ul style="list-style-type: none"> • Training on use of the PLO process 25% Complete Target Date: 31/12/2014 • Provision of regular updates on the nature of and number of care proceedings to the LSCB 100% Complete Target Date: 07/04/2014 • Regular meetings with senior managers in Children's Services 30% Complete Target Date: 06/03/2014 • Use of para-legal to undertake Education Supervision Orders 100% Complete Target Date: 06/03/2014 • Increase the number of lawyers to reflect the increased volume of proceedings 100% Complete Target Date: 10/04/2014 • Liason with Hampshire CC Child Care Team around policies and procedures in connection with the Hants Partnership 10% Complete • Provide training on the revised Public Law Outline, the 26 week Timetable and overview of proceedings 100% Complete Target Date: 12/03/2014 • Provision of additional half-time advocate for one year 100% Complete • Annual payment from Social Services to fund extra resources 100% Complete • Recharge of legal fees to Social Services when officer time wasted due to paper not being supplied by due date 100% Complete • Training on statement writing and intelligent chronologies 100% Complete • Training sessions for Social Workers 100% Complete Target Date: 31/12/2012 											
PFIS0006	Pfi Programme	Risk of major urban landslide, major coastal landslide and cliff fall risks. The risk is increasing due to climate changes.	15	15	15	15	12	31/03/2016	0	2	2	4	50%
		Controls: <ul style="list-style-type: none"> • Isle of Wight Coastal defence strategies 60% Complete Target Date: 31/03/2015 • Undercliff Landslide Management Strategy 100% Complete • Shoreline Management Plan 100% Complete • Use of GPS monitoring to determine whether a major stabilisation project is needed. 60% Complete Target Date: 31/03/2016 											
PH0015	Public Health	There appears to be no processes in place to address the actions required following a failed CQC Inspection in residential homes due to infection control standards. There is a concern that should residential homes fail CQC inspection, then less places will be available to meet the needs of the local community.	n/i	n/i	12	12	6	22/12/2014	0	2	0	2	0%
		Controls: <ul style="list-style-type: none"> • Discuss contract monitoring with Commissioners in the IWC and the CCG. 10% Complete Target Date: 22/12/2014 • Ensure that business case submitted to the CCG for an Community Infection Control Nurse is approved. 5% Complete Target Date: 19/12/2014 											

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POH0009	HR	Failure to meet statutory obligations under health and safety legislation	13	13	13	13	10	31/03/2015	0	5	9	14	64%
		Controls: <ul style="list-style-type: none"> ● Annual schedule of activities 60% Complete Target Date: 31/03/2015 ● Policy Framework 15% Complete Target Date: 31/03/2015 ● Training to support mitigating the risk 30% Complete Target Date: 31/03/2015 ● Escalate and report to the appropriate boards/groups/meetings of the risks and their actions 50% Complete Target Date: 31/03/2015 ● Audit to state how we intend to comply with appropriate standards 50% Complete Target Date: 31/03/2015 ● Implementation of a workplace audit programme 100% Complete ● Review of occupational health service and healthy workforce strategy 100% Complete ● Monitoring of the effectiveness of health and safety training 100% Complete ● Establish a Health and Safety Board 100% Complete ● Revise the Lone Worker Policy 100% Complete ● Revise the H&S Policy 100% Complete ● Active Support for all Council Services 100% Complete ● Introduction of Information Management Systems 100% Complete ● Review of all essential H&S Training 100% Complete Target Date: 31/07/2013 											
POH0022	HR	Failure to meet statutory obligations under equality legislation	13	13	13	13	10	31/03/2014	5	0	5	10	50%
		Controls:..... <ul style="list-style-type: none"> ● Annual schedule of activities Target Date: 31/03/2014 ● Policy Framework Target Date: 31/03/2014 ● Training to support mitigating the risk Target Date: 31/03/2014 ● Escalate and report to the appropriate boards/groups/meetings of the risks and their actions Target Date: 31/03/2014 ● Audit to state how we intend to comply with appropriate standards Target Date: 31/03/2014 ● Update employment policies and procedures with current legislation 100% Complete ● Implementation of equality and diversity training for all staff 100% Complete Target Date: 31/03/2013 ● Communication of managers responsibilities relating to recruitment and selection 100% Complete ● Promote equality and diversity policies to the council's contractors and volunteers and included in all contract requirements 100% Complete ● Robust EIA programme to assist decision making 100% Complete 											

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POH0025	HR	Failure of the schools to meet their statutory people management responsibilities including health and safety, employment, and equality Controls: <ul style="list-style-type: none"> • Annual schedule of activities 60% Complete Target Date: 31/03/2015 • Policy Framework 100% Complete Target Date: 31/03/2015 • Training to support mitigating the risk/s 50% Complete Target Date: 31/03/2015 • Escalate and report to the appropriate boards/groups/meetings of the risks and their actions 60% Complete Target Date: 31/03/2015 • Audit to state how we intend to comply with appropriate standards 100% Complete Target Date: 31/01/2014 	15	15	15	15	10	31/03/2015	0	3	2	5	40%
PRO0060	The Project Link	Failure to provide and maintain fully resourced and experienced key personnel both within the Project team and from the wider council to fully support the project Controls: <ul style="list-style-type: none"> • 	n/i	15	15	15	10		0	0	0	0	0%
PRO0062	The Project Link	Failure to produce key documentation through the project of an adequate quality on a timely basis Controls: <ul style="list-style-type: none"> • 	n/i	12	12	12	6		0	0	0	0	0%