

Risk Status with Controls

Risk Ref	Business Unit	Risk Details	Current Risk Rating				Target		Step 2. Planned Actions				
			05/14	08/14	11/14	02/15	Rating	Target Date	Not Started	In Progress	Implemented	Total	% Implemented
SR0035	Strategic Risks	Insufficient financial resources	16	16	16	16	9	30/01/2015	0	1	21	22	95%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>● Governance: Scrutiny Committee review of budget position 100% Complete</li> <li>● Process: Monthly report to Corporate Management Team re budget position 100% Complete</li> <li>● Governance: Capital and Disposal Sub Committee 100% Complete</li> <li>● Savings Plans developed and implemented for 2014-17 80% Complete Target Date: 30/01/2015</li> <li>● Process: Regular review of Reserves and Balances 100% Complete</li> <li>● Process: Six monthly capital challenge 100% Complete</li> <li>● Process: Delivery of the Savings Strategy for 2013/14 100% Complete</li> <li>● Governance: Procurement Board 100% Complete</li> <li>● Governance: Executive 100% Complete</li> <li>● Improvement: Strategic Asset Management Plan 100% Complete</li> <li>● Improvement: Procurement Strategy 100% Complete Target Date: 31/03/2013</li> <li>● Improvement: Savings Plans and Planning 2014/15 100% Complete Target Date: 31/03/2014</li> <li>● Governance: Audit Committee 100% Complete</li> <li>● Governance: Scrutiny Committee 100% Complete</li> <li>● Process: Quarterly Reporting 100% Complete</li> <li>● Process: Authorisation Panel 100% Complete</li> <li>● Process: Service &amp; Budget Review Steering Group 100% Complete</li> <li>● Process: Budget Monitoring 100% Complete</li> <li>● Framework: Mini Service Boards 100% Complete</li> <li>● Framework: Medium Term Financial Plan 100% Complete</li> <li>● Framework: Medium Term Financial Strategy 100% Complete</li> <li>● Framework: S151 Officer 100% Complete</li> </ul>											

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SR0036	Strategic Risks	Ineffective decision making and control processes (governance)	5	5	8	8	5	30/04/2015	2	0	23	25	92%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>● Process - Review of Performance and Risk Frameworks</li> <li>● Improvement - Project Management training Target Date: 30/04/2015</li> <li>● Framework: Compliance with British Standard ISO 17799 on Information Security 100% Complete</li> <li>● Process: Targeted intervention for breaches in data protection 100% Complete</li> <li>● Process: Pro-active training sessions. 100% Complete</li> <li>● Improvement: Increase building security 100% Complete</li> <li>● Improvement: Scrutiny Committee Action Plan 100% Complete</li> <li>● Improvement: Continuing to benchmark for best practice in Legal and Democratic Services 100% Complete</li> <li>● Framework: Annual Governance Statement 100% Complete</li> <li>● Process: Equality Impact Assessments 100% Complete</li> <li>● Framework: Project Governance 100% Complete</li> <li>● Process: Member Information Sessions 100% Complete</li> <li>● Process: ICT Assurance Policies and Systems 100% Complete</li> <li>● Process: External and Internal Audit 100% Complete</li> <li>● Framework: Ethical Standards 100% Complete</li> <li>● Process: Procurement Board 100% Complete</li> <li>● Process: Call Over 100% Complete</li> <li>● Framework: Risk &amp; Performance 100% Complete</li> <li>● Framework: Key Policies 100% Complete</li> <li>● Framework: Equalities &amp; Diversity Board 100% Complete</li> <li>● Framework: Information Governance Group 100% Complete</li> <li>● Framework: Audit Committee 100% Complete</li> <li>● Framework: Scrutiny Committee 100% Complete</li> <li>● Framework: Monitoring Officer 100% Complete</li> <li>● Framework: Council Constitution 100% Complete</li> </ul>											

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SR0037	Strategic Risks	Insufficient staffing capacity and skills to deliver wholesale organisational change - Organisational change - lack of expertise and ability to project manage - Loss of skills and expertise - Lack of clear direction for organisational design - New skills required - workforce planning/ talent management - Employee relations climate - Increased absence - Recruitment and selection - ICT capacity  <b>Controls:</b> <ul style="list-style-type: none"> <li>● Organisational development - Support to workforce 80% Complete Target Date: 31/03/2015</li> <li>● Effective diversity management 67% Complete Target Date: 30/06/2015</li> <li>● Organisational Change- Learning &amp; Development 50% Complete Target Date: 27/02/2015</li> <li>● Strategic space &amp; capacity 80% Complete</li> <li>● Organisational change 90% Complete</li> <li>● Organisational Change - workforce strategy and action plan 10% Complete</li> <li>● Organisational change- Additional expert capacity 10% Complete</li> <li>● Establish Organisational Change Team 100% Complete</li> <li>● Budget Options Task Groups 100% Complete</li> <li>● Develop a communications strategy 10% Complete</li> <li>● Effective Health and Safety Management 100% Complete</li> <li>● Effective Management of sickness absence 100% Complete</li> <li>● Improvement: T&amp;C Review 50% Complete</li> <li>● Process: Consultation with Unions, Joint Consultative Meetings 100% Complete</li> <li>● Implement PDRs to ensure that all staff are aware of responsibilities 10% Complete Target Date: 01/04/2016</li> <li>● Ensure business continuity plans are in place 100% Complete</li> <li>● Control of authorised pay 100% Complete</li> <li>● Communicate with staff and managers 100% Complete</li> </ul>	9	9	12	12	8	01/04/2016	0	10	8	18	44%

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SR0039	Strategic Risks	Failure to commission and secure services which are relevant to the Isle of Wight community's needs and that meet the Council's statutory duties	5	5	12	12	9	31/03/2015	0	1	13	14	93%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>● Organisational Change Team established 100% Complete</li> <li>● Consultation used to develop council options 100% Complete</li> <li>● Budget Target groups established 100% Complete</li> <li>● Improvement: Agree implementation of the Commissioning Framework 50% Complete Target Date: 31/03/2015</li> <li>● Process: Authorisation Panel 100% Complete</li> <li>● Process: Service &amp; Budget Review Steering Group 100% Complete</li> <li>● Process: Joint Strategic Needs Assessment 100% Complete</li> <li>● Process: Equality Impact Assessment 100% Complete</li> <li>● Improvement: Commissioning framework 100% Complete</li> <li>● Process - Medium Term Financial Strategy 100% Complete</li> <li>● Framework - Equality &amp; Diversity Board 100% Complete</li> <li>● Framework - Procurement strategy 100% Complete</li> <li>● Framework - Corporate Plan 100% Complete</li> <li>● Framework - Executive quarterly performance report 2013 100% Complete</li> </ul>											
SR0041	Strategic Risks	Failure of Strategic Partnership with Hants CC to manage Children's Services	9	9	6	6	5		0	0	12	12	100%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>● Restructure of Childrens Social Care 100% Complete Target Date: 31/03/2014</li> <li>● Establishment and operation of a Childrens Improvement Board 100% Complete Target Date: 01/07/2013</li> <li>● Direct links and partnership working on Financial Management and effective budget monitoring 100% Complete Target Date: 01/09/2014</li> <li>● Improved social work practice 100% Complete Target Date: 31/03/2014</li> <li>● Use of Hantsdirect for case referrals 100% Complete Target Date: 04/11/2013</li> <li>● Effective performance management of childrens safeguarding services 100% Complete Target Date: 31/03/2015</li> <li>● Effective performance management of Education services 100% Complete Target Date: 31/03/2014</li> <li>● Electronic Case Management system (ICS) 100% Complete Target Date: 18/11/2013</li> <li>● Establishment of management and accountability structure and hierarchy with links at director, senior officer and member level 100% Complete Target Date: 01/07/2013</li> <li>● Utilising Hampshire's experience, capacity and scale to deliver partnership outcomes 100% Complete Target Date: 01/04/2014</li> <li>● Managed process of interim - transition - business as usual 100% Complete Target Date: 31/03/2014</li> <li>● Clear partnership agreement setting out respective responsibilities 100% Complete Target Date: 01/07/2013</li> </ul>											

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SR0042	Strategic Risks	Failure to identify at an early stage schools that are not delivering good enough performance and to discharge the council's responsibilities in relation to school improvement	12	12	12	12	6	31/10/2014	1	1	14	16	88%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>● Support and challenge for leadership and management including governance -strengthening governing bodies 100% Complete Target Date: 29/11/2013</li> <li>● Support and challenge for leadership and management including governance robust challenge and review 100% Complete Target Date: 30/09/2013</li> <li>● Monitoring,Challenge, Intervention and Support - Communication with schools 100% Complete Target Date: 30/09/2013</li> <li>● Monitoring,Challenge, Intervention and Support - brokering additional support 100% Complete Target Date: 31/10/2013</li> <li>● Monitoring,Challenge, Intervention and Support - performance measurement 100% Complete Target Date: 30/09/2013</li> <li>● Monitoring,Challenge, Intervention and Support - identifying failing schools 100% Complete Target Date: 31/10/2013</li> <li>● Monitoring,Challenge, Intervention and Support - Understanding schools 100% Complete Target Date: 27/09/2013</li> <li>● Corporate Leadership and Planning - support for school leadership 100% Complete Target Date: 30/09/2013</li> <li>● Corporate Leadership and Strategic Planning - strategic approach 100% Complete Target Date: 31/12/2013</li> <li>● Ensure that school leaders and governors are involved in strategic and operational policy 100% Complete Target Date: 30/09/2013</li> <li>● Ensure decision making about the allocation of resources to schools is understood by all 100% Complete Target Date: 31/07/2013</li> <li>● Ensure greater efficiency, value for money and better transfer between key stages Target Date: 30/06/2013</li> <li>● Establish a new framework for monitoring and evaluating the impact of all school improvement work 100% Complete Target Date: 31/12/2013</li> <li>● Make effective use of performance data 50% Complete Target Date: 31/10/2014</li> <li>● Introduce detailed urgent arrangements for reducing the number of inadequate schools 100% Complete Target Date: 30/09/2013</li> <li>● Agree &amp; publish a strategic approach to school improvement 100% Complete Target Date: 31/03/2013</li> </ul>											

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SR0043	Strategic Risks	Failure to identify and effectively manage situations where vulnerable children are subject to abuse	13	13	9	9	5		0	6	14	20	70%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>• The Voice of the child - Complaints process 100% Complete</li> <li>• The Voice of the child - independent visitor and advocate service 50% Complete</li> <li>• The Voice of the child - mentoring scheme for children in care 100% Complete</li> <li>• The Voice of the child -influenced the planning of the service delivery 50% Complete</li> <li>• Partnership working - Domestic Abuse Forum 100% Complete</li> <li>• Partnership working - LSCB is re-established 100% Complete</li> <li>• Partnership Working - Establish Children's Trust Board 100% Complete</li> <li>• Performance Management and Quality Assurance - Key Performance targets 50% Complete</li> <li>• Performance Management and Quality Assurance - Implement Performance Improvement Framework 100% Complete</li> <li>• Social Work Practice - Establish quality assurance framework 75% Complete</li> <li>• Leadership &amp; Management - Key strategies 90% Complete</li> <li>• Leadership &amp; Management -Early Help 100% Complete</li> <li>• Leadership &amp; Management - Establish structures and processes 100% Complete</li> <li>• The Voice of the Child -individual participation and feedback change service delivery 75% Complete</li> <li>• The Voice of the Child - participation strategy 100% Complete</li> <li>• Parnership working - Early Help Strategy 100% Complete</li> <li>• Partnership working - Role of the LADO 100% Complete</li> <li>• Partnership working - Multi-agency LAC Strategy Group 100% Complete</li> <li>• Partnership working - locality working together and partnership relationships 100% Complete</li> <li>• Partnership working -strategy to risk assess serious offenders 100% Complete</li> </ul>											

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SR0044	Strategic Risks	Ineffective response to major emergency	9	9	9	9	5	30/06/2015	0	5	14	19	74%	
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>Peer Review of FRS and Action plan 100% Complete</li> <li>Framework: Review of Mass fatality arrangements 40% Complete Target Date: 30/06/2015</li> <li>Improvement: Review of Fire Integrated Risk Management Plan 100% Complete</li> <li>Process: Improvements based on lessons learnt 100% Complete</li> <li>Improvement: Fire Control Transfer 100% Complete</li> <li>Process: Review all polices and plans (ongoing 3 yearly cycle on all) 100% Complete</li> <li>Improvement: Ensure Council wide Business Continuity arrangements are in place 20% Complete Target Date: 30/04/2015</li> <li>Framework: Fire &amp; Rescue National Framework 100% Complete</li> <li>Framework: Fire cover arrangements with Hants Fire Authority 100% Complete</li> <li>Framework: Oil &amp; Chemical Pollution Plan 10% Complete Target Date: 30/01/2015</li> <li>Framework: Animal Disease Plan 100% Complete</li> <li>Framework: Humanitarian Assistance Arrangements 100% Complete</li> <li>Framework: Development of the Island Resilience Forum Multi - Agency Response plan 100% Complete</li> <li>Framework: Review of Island Resilience Forum Flood Response Plan 80% Complete Target Date: 29/05/2015</li> <li>Framework: IWC Emergency Recovery Plan 100% Complete</li> <li>Framework: Review of IWC Emergency Response Plan 85% Complete Target Date: 31/03/2015</li> <li>Framework: Hants &amp; IW local resilience forum 100% Complete</li> <li>Framework: Business Continuity Policy 100% Complete</li> <li>Framework: Pandemic Plans 100% Complete</li> </ul>												
SR0045	Strategic Risks	Failure to keep vulnerable adults safe.	n/i	n/i	12	12	6	30/09/2015	0	4	2	6	33%	
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>Develop and embed outcomes based commissioning to ensure vulnerable adults are safeguarded 20% Complete Target Date: 30/04/2015</li> <li>Raise awareness of adult safeguarding 75% Complete Target Date: 30/06/2015</li> <li>Review facilities 100% Complete Target Date: 29/05/2015</li> <li>Review safeguarding practice and processes 100% Complete Target Date: 29/05/2015</li> <li>Ensure safeguarding is not done to people 15% Complete Target Date: 29/05/2015</li> <li>Improve strategic direction 70% Complete Target Date: 30/09/2015</li> </ul>												
			9	78	78	96	96	58		3	28	121	152	80%