

Risk Status with Controls

Risk Ref	Business Unit	Risk Details	Current Risk Rating				Target		Step 2. Planned Actions				
			09/14	12/14	03/15	06/15	Rating	Target Date	Not Started	In Progress	Implemented	Total	% Implemented
SR0035	Strategic Risks	Insufficient financial resources and viability of the council	16	16	16	16	9		0	0	22	22	100%
	<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 2014-17 100% Complete Target Date: 13/02/2015</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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SR0037	Strategic Risks	Insufficient staffing capacity and skills to deliver wholesale organisational change	12	12	12	12	8	01/04/2016	0	9	9	18	50%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>● Leadership programme 75% Complete Target Date: 30/06/2015</li> <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 100% Complete Target Date: 27/02/2015</li> <li>● Strategic space &amp; capacity 80% Complete</li> <li>● Organisational change 50% 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>● Develop a communications strategy 100% 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>											
SR0042	Strategic Risks	School attainment	12	12	12	9	6		0	0	0	0	0%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>●</li> </ul>											

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SR0043	Strategic Risks	Failure to identify and effectively manage situations where vulnerable children are subject to abuse  <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>	9	9	9	9	5		0	6	14	20	70%
SR0045	Strategic Risks	Failure to keep vulnerable adults safe.  <b>Controls:</b> <ul style="list-style-type: none"> <li>• Develop and embed outcomes based commissioning to ensure vulnerable adults are safeguarded 100% 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 100% Complete Target Date: 30/09/2015</li> </ul>	12	12	12	12	6	30/06/2015	0	2	4	6	67%

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SR0046	Strategic Risks	The risk that the Island's economy falls further behind its mainland comparators and is unable to generate sufficient wealth to sustain the Island and its community	n/i	n/i	n/i	12	9	31/03/2017	22	0	0	22	0%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>● Sustain and enhance the Island's landscape Target Date: 31/03/2017</li> <li>● Develop a year round tourism economy Target Date: 31/03/2017</li> <li>● Encourage innovation and industry investments Target Date: 31/03/2017</li> <li>● Increase the value of tourism to the Island economy Target Date: 31/03/2017</li> <li>● Support supply chain development in associated renewable energy sectors Target Date: 31/03/2017</li> <li>● To promote and support the expansion of renewable energy activities Target Date: 31/03/2017</li> <li>● To support specialisation in advanced manufacturing and marine sectors Target Date: 31/03/2017</li> <li>● Navitus Bay O&amp;M activity Target Date: 31/03/2017</li> <li>● Integration of employment and skills support. Target Date: 31/03/2017</li> <li>● Delivery of higher level skills Target Date: 31/03/2017</li> <li>● Skills for key sectors Target Date: 31/03/2017</li> <li>● Improve access to employment and training opportunities Target Date: 31/03/2017</li> <li>● Stimulate private sector investment plans for the Next Generation technology Target Date: 31/03/2017</li> <li>● To support development and expansion of the Island's Grid Capacity Target Date: 31/03/2017</li> <li>● Improving cross Solent transport connectivity between Southampton and East Cowes Target Date: 31/03/2017</li> <li>● Promote the development of big society and social enterprise Target Date: 31/03/2017</li> <li>● Improve links with R&amp;D based companies, Universities and other major research establishments Target Date: 31/03/2017</li> <li>● Develop an integrated and coordinated approach to business support for new start provision and existing business Target Date: 31/03/2017</li> <li>● To develop integrated Inward investment functions across the wider Solent economy Target Date: 31/03/2017</li> <li>● Produce three key regeneration Area Action Plans (AAPs) in Medina Valley, Ryde and The Bay Target Date: 31/03/2017</li> <li>● Infrastructure - Maximising opportunities from new economic development through planning policy Target Date: 31/03/2017</li> <li>● Better access and integrate existing funding for business support Target Date: 31/03/2017</li> </ul>											

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SR0047	Strategic Risks	The risk that the council fails to deliver its approved budget and that there are insufficient reserves to meet the deficit	n/i	n/i	n/i	16	9	31/03/2016	2	0	8	10	80%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>• Development of new ways of working and new operating model Target Date: 31/03/2016</li> <li>• Service Boards 100% Complete Target Date: 31/03/2015</li> <li>• Review of Procurement Board's role Target Date: 30/09/2015</li> <li>• Procurement Board to review tendering opportunities 100% Complete Target Date: 31/03/2015</li> <li>• Medium Term Financial Plan 100% Complete Target Date: 31/03/2015</li> <li>• Scrutiny Committee Task &amp; Finish Group re Budget 100% Complete Target Date: 31/03/2015</li> <li>• Performance reporting to Executive and CMT 100% Complete Target Date: 31/03/2015</li> <li>• Authorisation Panel to control recruitment 100% Complete Target Date: 31/03/2015</li> <li>• Regular and frequent reporting of progress of savings plans , project at Executive / CMT 100% Complete Target Date: 31/03/2015</li> <li>• Regular and frequent budget monitoring at Executive /CMT 100% Complete Target Date: 31/03/2015</li> </ul>											
SR0048	Strategic Risks	The council fails to achieve the required outcomes from its significant contractual relationships and fails to successfully resolve some anomalies in the contract's interpretation (in relation to the 25 year Highways PFI contract)	n/i	n/i	n/i	12	5	31/03/2016	4	10	2	16	13%
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>• Conclude review of outstanding contract anomalies - consider detailed changes to contract Target Date: 30/09/2015</li> <li>• Conclude review of outstanding contract anomalies - consider commercial agreemnt with IR 20% Complete Target Date: 01/09/2015</li> <li>• Conclude review of outstanding contract anomalies Quantify potential cost to council of relevant parts of the contract 80% Complete Target Date: 19/06/2015</li> <li>• Re-establish properly resourced client function 20% Complete Target Date: 01/06/2015</li> <li>• Waste - establish effective performance management arrangements Target Date: 30/09/2015</li> <li>• Waste - establish effective governance arrangements Target Date: 30/09/2015</li> <li>• Waste - establish effective client base Target Date: 30/09/2015</li> <li>• Waste - ensure effective transition to the new contract 10% Complete Target Date: 31/03/2016</li> <li>• Pan development agreement - introduce more effective sign off of completions 10% Complete Target Date: 30/09/2015</li> <li>• Pan development agreement - Establish PANMANco on sound financila footin 10% Complete Target Date: 30/09/2015</li> <li>• Establish robust auditing and performance management systems 20% Complete Target Date: 31/08/2015</li> <li>• Strengthen financial management of contract 20% Complete Target Date: 31/08/2015</li> <li>• Bring in additional professional support to strengthen contract management pending permanent recruitment 70% Complete Target Date: 03/08/2015</li> <li>• Senior management restructure has appointed a head of contract management 100% Complete Target Date: 31/03/2015</li> <li>• Conclude review of outstanding contract anomalies to both reduce financial pressures and protect reputation of the council 100% Complete Target Date: 29/05/2015</li> <li>• Review governance arrangements for the contract 20% Complete Target Date: 30/06/2015</li> </ul>											

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SR0049	Strategic Risks	Failure to realise the council's vision and to deliver its priorities	n/i	n/i	n/i	8	5	31/03/2016	0	4	8	12	67%	
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>• Mini Service Boards to focus on priorities 100% Complete Target Date: 01/04/2015</li> <li>• Establishment of organisation change resource 100% Complete Target Date: 31/07/2014</li> <li>• Working effectively in partnership to achieve best outcomes 10% Complete Target Date: 31/03/2016</li> <li>• Consideration of full range of delivery models and options 10% Complete Target Date: 31/03/2016</li> <li>• Established reporting forums -SMT, CMT and Executive-CMT 100% Complete Target Date: 01/04/2015</li> <li>• Service plans are aligned to the Corporate Plan and its priorities 10% Complete Target Date: 31/07/2015</li> <li>• Council's management structure has been aligned to the Council's priorities 100% Complete Target Date: 31/03/2015</li> <li>• Personal development Reviews achieve the 'golden thread' which links individual performance to priorities 5% Complete Target Date: 31/07/2015</li> <li>• Reports include strategic context, options and risks 100% Complete Target Date: 31/03/2015</li> <li>• Quarterly Performance Monitoring to CMT and Executive CMT 100% Complete Target Date: 31/03/2015</li> <li>• Corporate Plan approved including the council's priorities 100% Complete Target Date: 01/04/2015</li> <li>• Transformation Plan reflects the council's vision and values 100% Complete Target Date: 31/03/2015</li> </ul>												
SR0050	Strategic Risks	Failure to secure the required outcomes from the integration of Adult Social Care and Health	n/i	n/i	n/i	n/a	n/a		10	0	4	14	29%	
	<b>Controls:</b>	<ul style="list-style-type: none"> <li>• Consideration of new / innovative solution to recruitment and remuneration issues</li> <li>• Resource introduced 100% Complete</li> <li>• Managing the transition to new arrangements</li> <li>• Care Act Board becoming transformation board</li> <li>• MLAFL new Board structure and composition</li> <li>• Dynamic purchasing system</li> <li>• Intelligent commissioning (move away from bed-based an team-base delivery)</li> <li>• Budget arrangements – set outline the strategic partnership</li> <li>• Professional governance arrangements ( clinical/operational) 100% Complete</li> <li>• History of joint working 100% Complete</li> <li>• Strategic Partnership agreement 100% Complete</li> <li>• Implementation of PARIS</li> <li>• Integrated delivery model</li> <li>• Governance arrangements Reinvigorating the Health &amp; well being Board</li> </ul>												
			10	61	61	61	106	62		38	31	71	140	51%