

Risk Status with Controls

Risk Ref	Business Unit	Risk Details	Current Risk Rating				Target		Step 2. Planned Actions				
			05/15	08/15	11/15	02/16	Rating	Target Date	Not Started	In Progress	Implemented	Total	% Implemented
SR0037	Strategic Risks	Insufficient staffing capacity and skills to deliver wholesale organisational change	12	12	12	12	8	01/07/2016	0	8	10	18	56%
	Controls:	<ul style="list-style-type: none"> • Communicate with staff and managers 100% Complete • Control of authorised pay 100% Complete • Ensure business continuity plans are in place 100% Complete • Implement PDRs to ensure that all staff are aware of responsibilities 50% Complete Target Date: 01/04/2016 • Process: Consultation with Unions, Joint Consultative Meetings 100% Complete • Improvement: T&C Review 100% Complete • Effective Management of sickness absence 100% Complete • Effective Health and Safety Management 100% Complete • Develop a communications strategy 100% Complete • Establish Organisational Change Team 100% Complete • Organisational change- Additional expert capacity 10% Complete • Organisational change 50% Complete • Strategic space & capacity 80% Complete • Organisational Change- Learning & Development 100% Complete Target Date: 27/02/2015 • Effective diversity management 85% Complete Target Date: 30/06/2015 • Organisational development - Support to workforce 80% Complete Target Date: 31/03/2015 • Leadership programme 75% Complete Target Date: 30/06/2015 • Terms & conditions review 3rd phase 20% Complete Target Date: 01/07/2016 											

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SR0042	Strategic Risks	School attainment	w/d	9	9	9	6		0	0	16	16	100%
	Controls:	<ul style="list-style-type: none"> ● Agree & publish a strategic approach to school improvement 100% Complete Target Date: 31/03/2013 ● Introduce detailed urgent arrangements for reducing the number of inadequate schools 100% Complete Target Date: 30/09/2013 ● Make effective use of performance data 100% Complete Target Date: 31/10/2014 ● Establish a new framework for monitoring and evaluating the impact of all school improvement work 100% Complete Target Date: 31/12/2013 ● Ensure greater efficiency, value for money and better transfer between key stages 100% Complete Target Date: 30/06/2013 ● Ensure decision making about the allocation of resources to schools is understood by all 100% Complete Target Date: 31/07/2013 ● Ensure that school leaders and governors are involved in strategic and operational policy 100% Complete Target Date: 30/09/2013 ● Corporate Leadership and Strategic Planning - strategic approach 100% Complete Target Date: 31/12/2013 ● Corporate Leadership and Planning - support for school leadership 100% Complete Target Date: 30/09/2013 ● Monitoring,Challenge, Intervention and Support - Understanding schools 100% Complete Target Date: 27/09/2013 ● Monitoring,Challenge, Intervention and Support - identifying failing schools 100% Complete Target Date: 31/10/2013 ● Monitoring,Challenge, Intervention and Support - performance measurement 100% Complete Target Date: 30/09/2013 ● Monitoring,Challenge, Intervention and Support - brokering additional support 100% Complete Target Date: 31/10/2013 ● Monitoring,Challenge, Intervention and Support - Communication with schools 100% Complete Target Date: 30/09/2013 ● Support and challenge for leadership and management including governance robust challenge and review 100% Complete Target Date: 30/09/2013 ● Support and challenge for leadership and management including governance -strengthening governing bodies 100% Complete Target Date: 29/11/2013 											
SR0045	Strategic Risks	Failure to keep vulnerable adults safe.	12	9	9	9	6	31/12/2015	1	4	2	7	29%
	Controls:	<ul style="list-style-type: none"> ● Improve strategic direction 100% Complete ● Delivery of voluntary hubs support to the community Target Date: 31/12/2015 ● Develop and Implement the "Making Safeguarding Personal" initiative across all partner agencies 60% Complete Target Date: 31/12/2015 ● Review safeguarding practice and processes in line with the Care Act 100% Complete ● Review telephony access to Safeguarding and ASC Duty Teams 65% Complete Target Date: 31/12/2015 ● Delivery of local safeguarding processes for IWC ASC and other agencies which will reflect the multi agency policy 60% Complete Target Date: 31/12/2015 ● Development and delivery of training and awareness sessions for Safeguarding Team to meet s.42 Care Act requirements 25% Complete Target Date: 31/12/2015 											

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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	12	12	12	9	30/03/2018	0	22	0	22	0%
	Controls:	<ul style="list-style-type: none"> ● To better access and integrate existing funding for business support 60% Complete Target Date: 31/03/2017 ● Infrastructure - Maximising opportunities from new economic development through planning policy 5% Complete Target Date: 31/03/2017 ● Produce three key regeneration Area Action Plans (AAPs) in Medina Valley, Ryde and The Bay 10% Complete Target Date: 31/03/2017 ● To develop integrated Inward investment functions across the wider Solent economy 50% Complete Target Date: 31/03/2017 ● Develop an integrated and coordinated approach to business support for new start provision and existing business 30% Complete Target Date: 31/03/2017 ● Improve links with R&D based companies, Universities and other major research establishments 25% Complete Target Date: 31/03/2017 ● Promote the development of big society and social enterprise 30% Complete Target Date: 31/03/2017 ● Improving cross Solent transport connectivity between Southampton and East Cowes 50% Complete Target Date: 30/03/2018 ● To support development and expansion of the Island's Grid Capacity 30% Complete Target Date: 31/03/2017 ● Stimulate private sector investment plans for the Next Generation technology 70% Complete Target Date: 31/03/2017 ● Improve access to employment and training opportunities 40% Complete Target Date: 31/03/2017 ● Skills for key sectors 40% Complete Target Date: 31/03/2017 ● Delivery of higher level skills 20% Complete Target Date: 31/03/2017 ● Integration of employment and skills support. 10% Complete Target Date: 31/03/2017 ● Navitus Bay operations & maintenance activity 25% Complete Target Date: 31/03/2017 ● To support specialisation in advanced manufacturing and marine sectors 10% Complete Target Date: 31/03/2017 ● To promote and support the expansion of renewable energy activities 40% Complete Target Date: 31/03/2017 ● Support supply chain development in associated renewable energy sectors 40% Complete Target Date: 31/03/2017 ● Increase the value of tourism to the Island economy 25% Complete Target Date: 31/03/2017 ● Encourage innovation and industry investments 20% Complete Target Date: 31/03/2017 ● Develop a year round tourism economy 20% Complete Target Date: 31/03/2017 ● Sustain and enhance the Island's landscape 50% Complete Target Date: 31/03/2017 											

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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	12	12	9	5	31/03/2016	3	9	3	15	20%
	Controls:	<ul style="list-style-type: none"> Waste - Review governance arrangements for the contract 20% Complete Target Date: 30/06/2015 Senior management restructure has appointed a head of contract management 100% Complete Target Date: 31/03/2015 Bring in additional professional support to strengthen contract management pending permanent recruitment 95% Complete Target Date: 03/08/2015 Strengthen financial management of contract 90% Complete Target Date: 31/08/2015 Establish robust auditing and performance management systems 100% Complete Target Date: 31/08/2015 Pan development agreement - Establish PANMANco on sound financial footing 30% Complete Target Date: 30/09/2015 Pan development agreement - introduce more effective sign off of completions 10% Complete Target Date: 30/09/2015 Waste - ensure effective transition to the new contract 90% Complete Target Date: 31/03/2016 Waste - establish effective client base 95% Complete Target Date: 30/09/2015 Financial close Target Date: 30/10/2015 Waste - establish effective performance management arrangements 60% Complete Target Date: 30/09/2015 H'way PFI Conclude review of outstanding contract anomalies Quantify potential cost to council of relevant parts of the contract 100% Complete Target Date: 19/06/2015 H'ways PFI Conclude review of outstanding contract anomalies - consider commercial agreement with IR 95% Complete Target Date: 01/09/2015 Conclude review of outstanding contract anomalies - consider detailed changes to contract Target Date: 30/09/2015 H'ways PFI - managing the dispute process Target Date: 30/10/2015 											

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SR0049	Strategic Risks	Failure to realise the council's vision and to deliver its priorities	n/i	8	12	12	5	31/03/2016	0	6	9	15	60%
	Controls:	<ul style="list-style-type: none"> ● Transformation Plan reflects the council's vision and values 100% Complete Target Date: 31/03/2015 ● Corporate Plan approved including the council's priorities 100% Complete Target Date: 01/04/2015 ● Quarterly Performance Monitoring to CMT and Executive CMT 100% Complete Target Date: 31/03/2015 ● Reports include strategic context, options and risks 100% Complete Target Date: 31/03/2015 ● Personal development Reviews achieve the 'golden thread' which links individual performance to priorities 12% Complete Target Date: 31/03/2016 ● Council's management structure has been aligned to the Council's priorities 100% Complete Target Date: 31/03/2015 ● Service plans are aligned to the Corporate Plan and its priorities 90% Complete Target Date: 31/12/2015 ● Established reporting forums -SMT, CMT and Executive-CMT 100% Complete Target Date: 01/04/2015 ● Consideration of full range of delivery models and options - development of Gateway approach 20% Complete Target Date: 31/03/2016 ● Working effectively in partnership to achieve best outcomes 60% Complete Target Date: 31/03/2016 ● Establishment of organisation change resource 100% Complete Target Date: 31/07/2014 ● Service Management Team meetings to focus on priorities , performance and risk frameworks 50% Complete Target Date: 30/11/2015 ● Empowering people 100% Complete Target Date: 30/11/2015 ● Leaders Forum and Group Leader meetings 100% Complete Target Date: 30/09/2015 ● Support from the LGA 90% Complete Target Date: 31/03/2016 											
SR0050	Strategic Risks	Failure to secure the required outcomes from the Strategic Partnership between IWC Adult Social Care and Health	n/i	12	12	12	6	29/04/2016	1	9	2	12	17%
	Controls:	<ul style="list-style-type: none"> ● Governance arrangements Reinvigorating the Health & well being Board 15% Complete Target Date: 31/12/2015 ● Agreeing Integrated Delivery Model 60% Complete Target Date: 29/01/2016 ● Implementation of PARIS 40% Complete Target Date: 31/01/2016 ● Strategic Partnership Agreement agreed and in place between IWC and IW NHS 65% Complete Target Date: 30/11/2015 ● Professional governance arrangements (clinical/operational) agreed across organisations 65% Complete Target Date: 31/12/2015 ● Budget arrangements – set outline for the strategic partnership funding arrangements 65% Complete Target Date: 31/12/2015 ● Intelligent, integrated commissioning activity across organisations 40% Complete Target Date: 29/04/2016 ● Procurement and implementation of the dynamic purchasing system 20% Complete Target Date: 31/12/2015 ● MLAF new board structure and composition to support interated approach Target Date: 31/03/2016 ● Care Act Board becoming transformation board 100% Complete ● Resource introduced 100% Complete ● Consideration of new / innovative solution to recruitment/retention and remuneration issues 10% Complete Target Date: 31/12/2015 											

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SR0051	Strategic Risks	Lack of financial resource and the ability to deliver the council's in year and medium term budget strategy	n/i	n/i	16	16	9	31/03/2017	0	3	11	14	79%
	Controls:	<ul style="list-style-type: none"> • Regular and frequent reporting of the Council's budget position to Executive- CMT 100% Complete • Regular and frequent reporting of progress with transformation and savings plans 100% Complete • Quarterly performance reporting to Executive and CMT 100% Complete • Review of Procurement 5% Complete Target Date: 31/03/2016 • Budget Scrutiny -Task & Finish Group re the Council's budget 100% Complete • Implementation of a Gateway review process 10% Complete Target Date: 31/12/2015 • Scrutiny Committee receive regular updates on the Council's budget position 100% Complete • Procurements are scrutinised 100% Complete • Half yearly Capital Challenge 100% Complete • Medium Term Financial Strategy 100% Complete • Authorisation Panel to control recruitment 100% Complete • Participation in devolution initiative 70% Complete Target Date: 31/03/2017 • Continued representation to Government and responses to the Comprehensive Spending Review 100% Complete • Leaders Forum and Group Leaders meetings 100% Complete Target Date: 30/09/2015 											

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SR0052	Strategic Risks	Failure to effectively manage situations where vulnerable children are subject to abuse	n/i	n/i	9	9	9	31/12/2015	0	14	7	21	33%
	Controls:	<ul style="list-style-type: none"> ● Ensure that service managers have sufficient capacity to undertake their full role (CSD 1.1) 100% Complete Target Date: 31/01/2015 ● Ensure that the Children in Care Team has sufficient capacity (CSD 1.2) 100% Complete Target Date: 30/06/2015 ● Ensure that all missing from care episodes are systematically referred to (CSD1.3) 100% Complete Target Date: 01/09/2015 ● Ensure that all children looked after are registered with a dentist (CSD1.4) 93% Complete Target Date: 01/12/2015 ● Improve the quality and consistency of social work assessment, analysis, direct work with children (CSD2.1) 70% Complete Target Date: 01/10/2015 ● Ensure that meetings are convened within required timescales (CSD2.2) 60% Complete Target Date: 01/12/2015 ● Ensure that child protection plans, child in need plans and care plans are specific, timely (CSD2.3) 50% Complete Target Date: 01/12/2015 ● Continue to improve school attendance and educational outcomes for children looked after (CSD2.4) 50% Complete Target Date: 01/12/2015 ● Ensure that all foster carers have sufficient detailed information about their delegate authority (CSD2.5) 100% Complete Target Date: 01/10/2015 ● Ensure that life story work includes all important parts of a child's life in order to create a complete and lasting record 10% Complete Target Date: 31/10/2015 ● Ensure that care leavers are aware of their entitlements (CSD2.7) 100% Complete Target Date: 28/02/2015 ● Enhance the skills and capacity of front line managers (CSD3.1) 67% Complete Target Date: 31/10/2015 ● Ensure that elected members effectively challenge performance and support improvements within children's services 100% Complete Target Date: 30/04/2015 ● Review and improve the effectiveness of the corporate parenting panel (CSD3.3) 100% Complete Target Date: 01/06/2015 ● Ensure that IROs have sufficient capacity to fulfil their statutory role (CSD3.4) 50% Complete Target Date: 31/12/2015 ● Ensure that all team managers manage and monitor the work within teams effectively (CSD3.5) 50% Complete Target Date: 01/12/2015 ● Ensure that the placement sufficiency strategy is informed by a thorough need and trend analysis (CSD3.6) 50% Complete Target Date: 30/04/2015 ● Develop formal links between the chair of the adoption panel and senior managers in order to improve adoption performance 50% Complete Target Date: 01/12/2015 ● Develop an adoption marketing strategy to increase the pool of Isle of Wight adopters (CSD 3.7) 75% Complete Target Date: 31/12/2015 ● Continue to embed the new service for care leavers and enhance provision through developing the Staying Put programme 50% Complete Target Date: 31/12/2015 ● Continue to resolve issues with the ICS (CSD4.1) 33% Complete Target Date: 30/09/2015 											
			9	24	74	103	100	63	5	75	60	140	43%