



PAPER D

Purpose: For Decision

Committee report

Committee	AUDIT COMMITTEE
Date	2 DECEMBER 2019
Title	THE COUNCIL'S RISK PROFILE
Report of	ASSISTANT CHIEF EXECUTIVE & CHIEF STRATEGY OFFICER

EXECUTIVE SUMMARY

1. The purpose of this report is to give the committee an opportunity to review the current position with regard to the council's strategic risks. The committee's terms of reference include the provision for consideration of "the effectiveness of the council's risk management arrangements".

BACKGROUND

2. This is the third update of the Strategic Risk Register within the 2019-20 reporting period. The risks were included within the Isle of Wight Council's revised Corporate Plan that was approved by Full Council in July 2019 or have been added by the Corporate Management Team.
3. Strategic risks are also referred to within the Quarterly Performance Management Reports (QPMR) that are presented to Cabinet. The Quarter 1 QPMR was reviewed by Cabinet on 12 September 2019.

RISK CHANGES

4. Corporate Management Team (CMT) have made the following amendments to risk scores between the last report to Audit Committee (30 September) and this current report. The register was considered by CMT on 19 November 2019:-
 - (a) Failure to recruit acceptable quality of professional practice across Adult Social Care (ASC) and Housing Needs. Reduction from 9 AMBER to 8 AMBER
 - (b) Insufficient staffing capacity and skills. Reduction from 7 AMBER to 6 GREEN.

- (c) Failure to secure the required outcomes from the integration of adult social care and health. Reduction from 12 RED to 10 AMBER

Reporting methods

5. Updates are requested from all mitigation owners at the beginning of each month. These updates are then added to the risk register and included in this report.
6. All risk scoring is decided by Corporate Management Team which reviews the Strategic Risk Register each month
7. Risk owners have been requested to provide timescales for the mitigating actions associated with each risk where it is possible and appropriate to do so.
8. In order to see which information has been updated since the previous report in September 2019 any additional comments are shown in *italics*. Where mitigation has not been updated the date of the last update is shown.

Strategic risks

9. Each strategic risk and its mitigation are detailed below:

Lack of financial resource and the ability to deliver the council's in-year budget strategy		Assigned to:			
Last updated September 2019		Director of Finance and Section 151 Officer			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	5 GREEN	8 AMBER	8 AMBER	3 GREEN	3 GREEN
Mitigation					
Close monitoring of revenue spend	Budget positions are reported quarterly to service management, CMT and Cabinet. At the end of Quarter 1 the draft outturn indicated a forecast pressure against budget target of £1.2 million (approximately 0.8% of budget) Further update will be provided in line with end of quarter reporting two of finance to Cabinet (January 2020)				
Close monitoring of income realisation against target	Income realisation is monitored monthly and reported to cabinet quarterly. At the end of Quarter 1, the draft outturn indicated an under achievement of £415,000 Further update will be provided in line with end of quarter reporting two of finance to Cabinet (January 2020)				
Close monitoring of achievement of savings plans	Achievement of savings are monitored monthly and reported to cabinet quarterly. At the end of Quarter 1, it is forecast that we will underachieve by £758,000. This				

	<p>will be kept under review as the financial year progresses and mitigating actions will be identified to ensure that the overall budget remains on target</p> <p>Further update will be provided in line with end of quarter reporting two of finance to Cabinet (January 2020)</p>
Close monitoring of capital spend	<p>Budget positions are reported quarterly to service management, CMT and Cabinet. At the end of Quarter 1, the forecast outturn position for the capital programme indicated expenditure of £26.6 million against a budget of £132.4 million and slippage of £104.8 million where spend will now take place in the next financial year. The key items of slippage relate to the property investment programme and regeneration programme.</p> <p>Further update will be provided in line with end of quarter reporting two of finance to Cabinet (January 2020)</p>

Lack of financial resource and the ability to deliver the council's medium-term financial strategy		Assigned to:			
Last updated September 2019		Director of finance and section 151 officer			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	9 AMBER	13 RED	13 RED	13 RED	13 RED
Mitigation					
Updated medium term financial strategy (MTFS)	The MTFS is reviewed regularly by Financial Management as part of the budget setting process. A full revision of the budget and future forecast and resulting savings requirements is presented to Full Council each February.				
2019/20 budget setting process	The budget for 2019/20 was agreed by Full Council in February 2019. The budget includes the identification of £5.5million of savings, the delivery of which will be monitored throughout the year. A capital programme of £206.5million was also agreed and will be subject to regular monitoring throughout the year.				
2020/21 budget setting process	<i>The budget process for 2020/21 is progressing</i>				

Insufficient staffing capacity and skills			Assigned to:		
Last updated September 2019			Director of Corporate Services		
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	8 AMBER	6 GREEN	7 AMBER	8 AMBER	8 AMBER
Mitigation					
Delivery of recruitment and retention strategy and action plan		<p>The scoping of a recruitment and retention strategy and plan is currently underway with a key focus being given to securing:</p> <ul style="list-style-type: none"> • an improvement in the council being recognised as a good employer. • a reduction in the number of interims and agency staff required in critical occupational roles. • more timely recruitment through increased efficiency in recruitment processes. • securing the right people, in the right place, at the right time. <p>This has now been divided into 3 projects:</p> <p>Recruitment processes and systems - A refreshed recruitment policy has now been published and work is underway to update manager's guidance.</p> <p>Engagement with services who regularly hire agency staff has been undertaken to gain customer insight in the problems and challenges faced by them in respect of supply availability, quality and current commissioning arrangements (particularly for specialist roles), the human resource service team are now compiling an options paper to determine how best to undertake remedial action in this respect. The service is <i>currently awaiting the outcome of a capital bid submission for a new e-recruitment system (Nov 2019). A mini review of current recruitment processes has been undertaken including:-</i></p> <ul style="list-style-type: none"> • <i>revision of the recruitment advertising request proforma,</i> • <i>development of new recruitment guidance via Wightnet,</i> • <i>an offer of assistance with vacancies from the HR Support team.</i> <p><i>HR are currently trialling updated processes with a couple of recruiting managers prior to wider role out.</i></p> <p>Our employment offer - A significant amount of work has been undertaken to improve the council's current website recruitment pages and a dedicated site for adult social care careers is now live. These improvements aim to better set out the council's employment offer. <i>Work is also underway to review the benefits package available to new and existing employees with the aim of re-branding and re-launch. 'Our Employment Offer' on a page document has been developed. Work is now continuing with Communications, Learning & Development and ICT Teams on details to sit behind each section for both internal (current employees) and external (potential new recruits).</i></p>			

	<p>Workforce planning - This is currently a lower priority than other two workstreams but work is underway to develop talent management and succession planning arrangements for the council. It is intended to have toolkits available for managers and staff to be in place by Quarter 4 2019/20.</p>
<p>Regular monitoring, analysis and review of organisational health indicators</p>	<ul style="list-style-type: none"> • Organisational Health indicators are reviewed by Cabinet every six months. The last update having been provided to their meeting in June 2019. Overall there continues to be a downward trend in the number of days absence lost due to sickness although an emerging trend indicates that staff appear to be off work due to sickness less frequently than before but when off work due to illness that they are off for longer. This is continuing to be reviewed corporately and within individual departments and identification of any individual cases of concern being addressed alongside advice and guidance being sought from the human resource service advisors.. • Attendance and wellbeing performance measures continue to be monitored by service departments and oversight is maintained by the human resource service. New sickness absence reporting mechanisms are currently being trialled to assist managers in identifying patterns and trends as well as initiation reminders when action is required to be taken in accordance with council policy and procedures. Targeted intervention continues to be undertaken within adult social care and children’s services as areas where sickness absence levels are the highest and improvements continue to be seen
<p>Workforce planning</p>	<ul style="list-style-type: none"> • A revised performance review process, designed in conjunction with managers has now been formally launched for 2019/20 period, supported by training for managers and underpinned by a range of guidance toolkits for both managers and staff. Short pulse surveys will be undertaken throughout the year in order to measure the success or otherwise of the new approach. • The first mini survey has been undertaken with staff showed a pleasing initial improvement by an upward trend from a baseline of 49.4% to 64.4%In the number of staff who report that they feel their personal performance review is a valuable opportunity to set objectives for the year. • <i>Work to commence in quarter 3 on drafting a workforce planning toolkit for managers.</i>

<p>A change in organisational culture fails to keep a pace with the speed of organisational change, negatively impacting on the delivery of the required transformation to deliver the corporate plan</p> <p>Last updated September 2019</p>			<p>Assigned to:</p> <p>Director of Corporate Services</p>		
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	6 GREEN	7 AMBER	7 AMBER	8 AMBER	8 AMBER
Mitigation					
Leadership and management development	<ul style="list-style-type: none"> • There is now a regular quarterly programme of manager conferences taking place as an opportunity for professional development, networking and the development of corporate initiatives that seek to improve people management within the council • There is also a corresponding leadership forum In place that meets on a quarterly basis for senior managers • A growing leaders network is also in place to provide assistance in the development and testing of new corporate people management and workforce development initiatives as well as to act as a think tank for common problems and issues. • <i>The IWC Leadership and management pathway has been published and will be updated regularly with the next focus being on supporting the workforce development requirements of the Commercial Strategy</i> 				
Workforce development programmes/initiatives	<ul style="list-style-type: none"> • A corporate programme of core learning and development is in place, utilising a combination of face to face and e-learning opportunities and is designed around the essential learning needs of staff. • <i>A new Learning and Management system has been procured and planning for implementation began in October 2019. The new system can integrate classroom and digital learning as well as providing employee and managers dashboards to view learning progress</i> 				
Delivery of the council's BIG Action Plan	<ul style="list-style-type: none"> • There has also been a formal launch of the 'BIG Ideas' scheme for staff to submit their ideas for commercial opportunities and/or efficiency savings and improvements. • There is continued roll out of the replacement IT equipment programme in which staff are being enabled to have the right tools for the job and which enables them to work more efficiently and from any location. Just over 1,000 new laptops have now been deployed across the workforce to date. <i>This rollout will complete in February 2020</i> • <i>Nominations are now open for this years staff awards with the event being held on 31 January 2020.</i> 				

Failure to improve educational attainment		Assigned to: Director of Children's Services			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	6 GREEN	9 AMBER	9 AMBER	10 AMBER	10 AMBER
on					
Delivering Educational Excellence – ensuring that all schools are good or better		<ul style="list-style-type: none"> • Annual reviews of every school with termly challenge visit and bespoke improvement support • Annual discussions with academies. • Supporting governing bodies to improve. • Training opportunities that raise awareness and improve safeguarding practices. • Identifying a 'targeted offer' and 'establishing 'good practice reviews'. • Implementing a high quality and cohesive professional offer. • Investing in recruitment and retention strategies. • Developing an 'affordable schools' strategy. • Prepare schools for new Ofsted framework being implemented in September 2019. • Of the 17 Ofsted inspections (including both full and monitoring inspections) on IW schools in the 2018/19 academic year every one stated that the schools were improving. 			
Delivering Educational Excellence – building on the improvements in standards		<ul style="list-style-type: none"> • Use the Leadership and Learning Partner (LLP) to support and challenge the improvement of standards in Island community schools. • Provide guidance and support on Key Stage 1 and Key Stage 2 standards and statutory assessment arrangements. • Key Stage 2 results for 2018/19 have shown considerable improvement especially in Mathematics as a result of a targeted intervention in Maths teaching. This will be followed up over the next academic year to ensure improvements are embedded. 74% of IW pupils achieved age related expectations (ARE) in Maths which was an 8% improvement on 2017/18 • IN reading and writing IW pupils results also improved and, in both cases, narrowed the gap between IW achievement and the national average. • <i>GCSE results for IW schools improved in the 2018-19 academic year but remain just below national averages</i> 			
Delivering Educational Excellence – ensuring schools are good for all children		<ul style="list-style-type: none"> • Use the LLP programme to evaluate the performance of vulnerable groups of children and the provision for them and support schools in bringing about improvements. • Further develop schools' leadership of teaching and learning: getting it right for all pupils including the more vulnerable. • Build upon joint training with Her Majesty's Inspectorate and other leading experts on inclusion matters for secondary schools. • Provide ongoing support and challenge in relation to exclusions and attendance. 			

	<ul style="list-style-type: none"> • Work with local stakeholders to develop a better transition between schools and employment. • Develop support to parents of home educated children. • 73.5% of IW schools are currently rated good or outstanding and signs from inspections undertaken in 2018/19 is that this will improve over the coming months
Delivering Educational Excellence – leading a cohesive system for children based on effective partnership working	<ul style="list-style-type: none"> • Work in partnership with the two dioceses who provide many of the Island’s schools. • Liaise with education partners including teaching schools, trusts and others to focus their potential for impact. • Work with south coast universities to promote excellence, aspiration and opportunities for routes into higher level education. • Support and challenge for all schools that become academies. • Improving community perceptions of education on the Island. • Enhance careers advice and guidance and engagement with industry and commerce.

Failure to identify and effectively manage situations where vulnerable children are subject to abuse		Assigned to: Director of Children’s Services			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	5 GREEN	8 AMBER	8 AMBER	8 AMBER	8 AMBER
Mitigation					
Corporate Parenting Board	<p>The Ofsted inspection report published on 7 January 2019 highlights that:</p> <p>“Corporate parenting is much stronger across the council since the last inspection. The Corporate Parenting Board receives regular, comprehensive performance data and reports, enabling effective scrutiny and challenge. The Corporate Parenting Board maintains a strong focus on achieving positive outcomes for children in care and care leavers. A high number of young people are supported to attend university and the council actively promotes apprenticeships, particularly for those with care experience. ‘Hearing young people’s experience’ (HYPE), Isle of Wight’s children in care council, is an active and influential part of the Corporate Parenting Board.”</p> <p>Corporate Parenting Board meetings take place quarterly</p>				
Multi-agency integrated commissioning board	<p>Children’s social care is going out to sole tender for a Pathways to Independent Adulthood supported accommodation provision.</p> <p><i>Care leavers have been actively involved in improving service delivery, such as through the tendering process for the new supported housing pathway and the local offer for care leavers.’ Ofsted 2018.</i></p>				

	<p>This is one of four recommendations for improvement from the 2018 Ofsted inspection. There is a need to ensure that the separate commissioning strategy through Housing services is integrated to ensure a pathway of provision, the risk is this could become a disjointed/duplicate provision. The tender is now out to advert with plan to let contracts from September 2019. This has been raised at the Housing Vulnerable People Programme Group which will now provide the oversight of all commissioning, activity and housing provision across the council.</p>
<p>Quarterly performance reports to Scrutiny Committee</p>	<p>Performance reports are viewed regularly by the Policy and Scrutiny Committee for Children's Services. A report was provided to elected members at committee on 23 May 2019 which involved constructive challenge by elected members. Committee were also presented with a comprehensive insight into the quality assurance framework that underpins the performance reports. Members were reassured of the robust arrangements that were in place.</p>
<p>Regular scrutiny of social work caseloads</p>	<p>The Ofsted inspection report published on 7 January 2019 highlights that: "The vast majority of practitioners say that their caseloads are manageable. Inspectors found that a small number of caseloads were too high. The local authority has secured further financial investment to reduce caseloads further."</p> <p>Caseloads are scrutinised by senior management on a weekly basis and the transformation programme which started in February 2019 will secure further improvements in caseloads.</p>
<p>Quality assurance framework (monthly case audits concentrating on quality of practice)</p>	<p>Audits began in April 2018 and are continuing. They include practice observations, auditing of supervision files and quarterly 'windows into practice' weeks. Quarterly reports are provided to senior managers which identify key themes and these become a focus for workforce development.</p> <p><i>'A comprehensive quality assurance programme, combined with the rigorous use of performance information, enables leaders to maintain effective oversight of practice. Performance meetings take place in every part and level of the service. Regular auditing by managers and senior leaders, alongside social workers, provides helpful opportunities for reflection and learning.'</i> Ofsted 2018.</p> <p>Monthly meetings now take place to review audits and actions and quality of practice. The senior management team also undertake an audit of audits on a monthly basis to quality assure the auditing process.</p>
<p>Annual self-evaluation and annual conversation between Director and Ofsted</p>	<p>An Ofsted inspection of children's social care services took place in November 2018, with the report published in January 2019. https://files.api.ofsted.gov.uk/v1/file/50048228</p> <p>Judgement highlighted below:</p> <p>The impact of leaders on social work practice with children and Good families</p> <p>The experiences and progress of children who need help and Good protection</p>

	<p>The experiences and progress of children in care and care leavers Good</p> <p>Overall effectiveness Good</p> <p>An annual self-evaluation was produced for the annual conversation with Ofsted in April 2019. This highlighted strengths and areas for development, which Ofsted will use as basis for future inspections. The current self-evaluation is being updated for the 2020 annual conversation.</p>
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Failure to recruit acceptable quality of professional practice across Adult Social Care (ASC) and Housing Needs		Assigned to: Director of Adult Social Care			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
14 RED	6 GREEN	8 AMBER	9 AMBER	9 AMBER	9 AMBER
Mitigation					
ASC Programme Board	<p>All ASC projects are reviewed monthly by the ASC Programme Board with any exceptions being escalated to the ASC Transformation Board. Programme board highlight report reflects the corporate standard.</p> <p>Highlights and key issues from the ASC Programme are included in a council wide summary report of all programme activity that is presented on a bi-monthly basis to the Strategic Programme Board (whose membership is the same as the Corporate Management Team) and a member review board chaired by the leader.</p>				
ASC restructure to support person centred care	<p><i>Care Management was successfully re-structured during Summer 2019. Professor Sam Baron, (the author of the Department of Health & Social Care guide to Strength Based Approaches) is no working with department to embed Strength Based leadership and on the application of new strength based assessment and planning tools used by social workers across all teams.</i></p>				
ASC recruitment and retention	<p>Vacancy monitoring within ASC now forms part of the monthly ASC Service Board Performance Report. The temporary ASC recruitment co-ordinator appointed now supports with vacancy management, recruitment advertising, interviews & pre-employment checks, this has resulted in an overall reduction of number of vacancies, improved retention and time to hire of candidates. A rolling advertisement campaign has overall proved successful</p> <p><i>ASC have successfully recruited to a number of key posts recently including:</i></p> <ul style="list-style-type: none"> • <i>social work posts in Care Management,</i> • <i>front line carers in Reablement,</i> • <i>registered manager at the Gouldings</i> • <i>Assistant Director of Commissioning</i> 				

	<p><i>However we are struggling to recruit to key statutory Mental Health roles/ Adult Mental Health Practitioners (AMPHs) , Best Interest Assessors (BIAs) and Mental Health Social Workers. In addition we are frequently having to undertake more than one recruitment round in order to appoint in most appointments. So whilst we are able to recruit it is taking too long to do so, the department is looking to see how it can continue to fund the dedicated post in HR to support the departments recruitment.</i></p>
<p>ASC Learning and Development (L&D) Plan</p>	<p>Human Resources and L&D are working together to explore workforce development and career pathways. Current pathways already include the apprenticeship degree in social work. Consideration is also being given to building up a strategic partnership with a local university.</p> <p><i>The Practice Development Unit has rolled out a programme of learning and development activities designed to complement the more formal offer of different courses available from the Learning & Development unit. These more informal activities are proving popular with front line staff and include:-</i></p> <ul style="list-style-type: none"> • <i>lunch and learn sessions,</i> • <i>TIME (critically reflective practice sessions),</i> • <i>dissemination of RIPFA materials.</i> <p>A substantial programme of training has been delivered in the Adelaide and Gouldings in support of CQC inspection preparation and action plans.</p>
<p>Mobile working pilot Complete</p>	<p>All of the staff from Enterprise House that have relocated to County Hall have received new ICT equipment allowing them to work in an “Agile” manner. ASC teams not based at Enterprise House (such as the Hospital Social Work Team) will receive their new kit prior to December 2019.</p> <p><i>All staff in ASC are able to work in an “Agile manner” and can complete assessment paperwork etc without having to visit County Hall reducing the amount of time spent travelling.</i></p>
<p>New person-centred, strengths-based assessment forms</p>	<p><i>The new forms have been used by the LD team to positive reception of staff and impact on quality of practice and recording. We will be using Professor Sam Barron to support the wider roll out of the forms from Jan 2020</i></p>

<p>Failure to identify and effectively manage situations where vulnerable adults are subject to abuse</p> <p>Last updated September 2019</p>		<p>Assigned to:</p> <p>Director of Adult Social Care Assistant Director of Operations</p>			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	6 GREEN	9 AMBER	9 AMBER	9 AMBER	9 AMBER
Mitigation					
ASC Programme Board	<p>All ASC projects are reviewed monthly by the ASC Programme Board with any exceptions being escalated to the ASC Transformation Board. Programme board highlight report reflects the corporate standard.</p> <p>Highlights and key issues from the ASC Programme are included in a council wide summary report of all programme activity that is presented on a bi-monthly basis to the Strategic Programme Board (whose membership is the same as the Corporate Management Team) and a member review board chaired by the leader.</p>				
'Deprivation of Liberty Safeguards' (DoLS) backlog clearance programme	<p>In November 2017, ASC identified some 750 outstanding DoLS referrals awaiting assessment, of which 120 were classified as high priority. Funding was identified to commission an external agency (The OT Practice) to complete outstanding assessments <i>and the number of outstanding assessments reduced to far lower levels (256 at the end of December 2018).</i></p> <p><i>However since April 2019 levels have once again continued to rise as in-house capacity struggles to meet demand.</i></p> <p><i>Work is ongoing with OT Practice (contracted agency) with the first 3 assessments completed. A further 50 assessment requests will be sent to OT Practice the first week of October. Year to date the average net increase of outstanding requests is approximately 50 per month with current in-house activity. This trend will increase outstanding requests by 300 by 31st March 2020 which would be counter-balanced against assessments undertaken by OT Practice (estimated 300-325).</i></p> <p><i>Work is ongoing to increase capacity in within ASC for DoLS assessments, but this remains an issue within the department. This has been reflected in the budget submission for 2020/21 where the department will be making a bid for Deprivation of Liberty standards against the £3m additional 2020/21 funding to meet pressures across both Adults and Childrens Social Care.</i></p>				
Mental Health Action Plan	<p>An action plan has been produced in response to the independent review of mental health social work practice – the Mental Health Team has been heavily engaged in its development and this is on target. Permanent new group manager in place and business case is being developed to increase the size of</p>				

	<p>the team and to support the AMPH out of hours services; dedicated expertise in S117 is in place and supporting policy is in final draft.</p> <p><i>Leadership group approved new structure for out of hours service for Mental Health (AMHPs) this creates a relatively small budget pressure (£57k). We are now working with HR to undertake the necessary impact assessment and to gain approval from the Director of Corporate Services to implement the new structure.</i></p>
Safeguarding Action Plan	<p>Review of the practice guidance is complete; MSP toolkit for ASC practitioners in place.</p> <p><i>We await the receipt of the most recent independent external MSP audit and a further action plan will be produced and implemented on the basis of that audit. Responsibility for Safeguarding is now also part of the statutory work undertaken within localities as opposed to only by the single safeguarding team.</i></p>
Learning Disability (LD) Homes Service improvement plans	<p><i>All bar one of the 6 LD Homes are rated as Good by CQC. 2 homes will become Supported Living and the plans for the refurbishment of Westminster House have now been approved. Both the Service Manager and the Group Manager undertake routine audits across all of the homes the results of which are reported on a monthly basis to the departmental service board.</i></p>
Centralisation of outreach teams	<p><i>Service now located at Sandown Barrack Block and CM2000 system is fully operational.</i></p> <p><i>An Independent mock inspection against CQC standards was undertaken in sept/oct 19, the results suggest that the service is consistently good with some outstanding features. A formal inspection is expected in the very near future. (because CQC will wish to assure itself that the new premises and the new management structure are operating to the required standards</i></p>

Failure to secure the required outcomes from the integration of adult social care and health		Assigned to:			
Last updated September 2019		Director of Adult Social Care			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	6 GREEN	10 AMBER	12 RED	12 RED	12 RED
Mitigation					
ASC Programme Board		<p>All ASC projects are reviewed monthly by the ASC Programme Board with any exceptions being escalated to the ASC Transformation Board. Programme board highlight report reflects the corporate standard.</p> <p>Highlights and key issues from the ASC Programme are included in a council wide summary report of all programme activity that is presented on a bi-monthly basis to the Strategic Programme Board (whose membership is the same as CMT) and a Member review board chaired by the Leader.</p>			

<p>Transformation programme and operational integration</p>	<p><i>The onwards care and independence workstream of the Islands Health and Care Plan comprises the following initiatives:-</i></p> <p><i>The ICDT</i> <i>The Regaining Independence service</i> <i>Integrated Localities</i> <i>Technology in Care Homes</i> <i>Early Help</i> <i>Raising Standards</i> <i>The Dementia Strategy</i> <i>LD Integration</i> <i>New Community Care model</i></p> <p><i>The LCB (soon to be the Integrated Care Partnership) receives routine reports of progress across these areas via the system programme office with the Director of Adult Service being the joint Senior Responsible Officer for this programme.</i></p>
<p>Responsiveness to hospital escalations</p>	<p>Senior ASC staff are on call seven days a week in order to direct resources to those people deemed medically fit for discharge and the responsibility of ASC. In addition, the Single Point of Commissioning (SPOC) Team continues to identify all providers willing and able to respond to requests at weekends to assess people deemed as requiring either residential care or domiciliary support. Delayed transfers of care (DTOC) meeting chaired by the Director of Adult Social Services occurs every Friday, which provides the single and agreed DTOC count.</p>

<p>The council fails to achieve the required outcomes from its significant contractual relationships and fails to successfully resolve some anomalies in the contracts' interpretation (in relation to the 25-year highways PFI contract)</p> <p>Last updated September 2019</p>	<p>Assigned to:</p> <p>Director of Neighbourhoods</p>				
<p>Inherent score</p>	<p>Target score</p>	<p>Current score</p>	<p>Previous scores</p>		
<p>16 RED</p>	<p>5 GREEN</p>	<p>8 AMBER</p>	<p>8 AMBER</p>	<p>9 AMBER</p>	<p>9 AMBER</p>
<p>Mitigation</p>					
<p>Waste management contract monitoring arrangements</p>	<p><i>The Mechanical Treatment Plant has now achieved acceptance certification. All remaining snagging items will be completed by December 2019.</i></p> <p><i>The Energy Recovery Plant installation has been delayed due to programming and supply chain issues. Acceptance testing is intended to be complete in early spring.</i></p>				

	<i>Construction risk sits with Amey and any delay will not be at the Council's cost.</i>
PFI – Establish and deliver available savings	<p>Savings will result from changes to the contract specification and to the standard of service being delivered. The level of reduction in service standards will be a balance between the need to achieve the required savings and maintaining an acceptable standard of service delivery. These changes also need to be accepted by the lenders who provide the required up-front capital investment.</p> <p>A savings programme has been established and agreed with Island Roads (IR) and reports made to a dedicated savings board. The programme aims to deliver savings in three phases which will be delivered as follows:-</p> <p><i>Phase 1 £608,000 completed April 2019</i> <i>Phase 2 £900,000 for completion April 2020</i> <i>Phase 3 £500,000 further per annum net savings to be identified by 31 December 2019</i></p>

Brexit - Uncertainty during transition period, followed by potential legislative, funding and policy changes after the UK leaves the EU may adversely affect the council and its ability to provide services.		Assigned to: Chief Executive			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	6 GREEN	14 RED	14 RED	14 RED	14 RED
Mitigation					
Working group of senior officers in place to define IWC strategy for Brexit		<p><i>The Brexit Impact Group is now meeting weekly in the build up to the current EU exit date of 31 January 2020 and is working under the assumption that no deal will be reached before then. A developed action plan is in place concentrating on key areas that could impact the Isle of Wight both immediately after Brexit and in later months and years.</i></p> <p>The group liaise with the IW Chamber of Commerce to ensure that local businesses can be as prepared as possible.</p>			
Oversight of any potential legislation changes in respect of right to live and work and freedom of movement that may affect our workforce		<p>A key link officer has been appointed to monitor the potential impact on the Isle of Wight workforce. The Council is promoting the settlement scheme to existing staff and social care contractors.</p> <p>Internally the council has promoted the settlement scheme to its staff who are citizens of EU member states. Externally the Council has been working Social Care providers to make them aware of the settlement scheme.</p>			

Membership of professional and local government bodies aids horizon scanning	Staff are encouraged to use their formal and informal external networking groups to share information on the potential impact of Brexit.
<i>Mitigate against issues with food and fuel shortages or price increases</i>	<p><i>The IWC is liaising closely with the Foodbank to ensure continuation of provision should food availability be affected.</i></p> <p><i>Work is underway to identify residents who may be vulnerable to increases in prices of food and fuel. This is particularly key given the introduction of Universal Credit which has the potential to create cash flow difficulties for those in receipt of it.</i></p>
Management of change approach to mitigate against significant impact to the organisation and its staff	<p>Council's Emergency Response Plan structures in place utilising the Brexit Impact Group to identify key and implement actions on Short (response phase), Medium and Long term (Recovery Phase) for wider council services.</p> <p>A Communications Strategy is in place to ensure that the relevant information is available in a consistent and useful manner that easily identifies issues as national, regional or local.</p> <p><i>A full briefing to members on the preparations for and the potential impact of Brexit took place on 7 October 2019</i></p>
Detailed project plans to manage implementation of changes	<p>A Detailed Programme Plan is in place as well as a full Risk Register associated with the impact of leaving the EU. Additional funding from central government to deal with Brexit preparations has been assigned to key potential areas of impact such as :-</p> <ul style="list-style-type: none"> • Business readiness • Food resilience • Vulnerable people • Supply chain logistics • Local labour supply
Understanding and acting on intelligence from the Local Government Association (LGA), the Chartered Institute for Public Finance Accountants (CIPFA) and other local government sources	These channels will continue to be monitored in the period running up to and after Brexit.
Oversight of general changes in legislation or governance arrangements that may affect the council	TFEU (Treaty of the Functioning of the European Union) principles applicable to the free movement of goods (equal treatment, non-discrimination, transparency and proportionality) are embodied in our national Public Contracts Regulations 2015, which were brought into force to implement the European Directive of 2014/24 on public sector contracts. These will remain in force, at least for now, and breaches of them can be challenged in the same way.

Achieving the vision for the Island		Assigned to:			
Last updated September 2019		Chief executive			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
14 RED	6 GREEN	9 AMBER	9 AMBER	10 AMBER	10 AMBER
Mitigation					
Quarterly Performance Management Report (QPMR) updates	<p>Regular reporting of finance and performance set against the corporate plan activities and metrics is made to the Cabinet and various committees with a scrutiny function.</p> <p>The corporate plan has been refreshed to take account of the achievements made by the council and changes in its operating environment. This plan is aligned to the council's vision for the Island and all of the council's key activities and performance metrics derive from it. Service plans and individual employee objectives are being refreshed and will align to the corporate plan</p> <p>A project is underway scoped that will improve the visualisation of the QPMR and enable reporting of the metrics in a range of formats to suit the audience. The revised format will be ready to implement for the Quarter 3 QPMR <i>after being tested on various sections of the Quarter 2 report</i></p>				
Strategic capacity and interventions	<p>Additional capacity in the senior management team has been secured and is being used to address gaps in strategy and policy issues which will align to the corporate plan.</p> <p>A key challenge is in maintaining a planned proactive approach to the delivery of corporate objectives and not being distracted by populist agendas, which in themselves may require additional resource.</p> <p>Key themes for the coming period are: commercialisation, digitalisation, housing, financial sustainability and one public service.</p>				
Robust Programme Management	<p>The programme management framework is becoming embedded throughout the organisation; aided by the oversight of the Strategic Programme Board and the member review board chaired by the Leader.</p> <p>A greater degree of challenge is now being applied to the council's core programmes of work to ensure their timely delivery and impact on the Island's vision. <i>This challenge includes periodic health checks on the programmes and projects that are reported to the Strategic Programme Board</i></p>				

Regeneration programme	Key physical regeneration projects within the programme are progressing. Short and medium-term housing programme confirmed. 2019/20 budget pressures have led to re-prioritisation of activity. Regeneration Strategy was presented to Cabinet in June 2019
Strategic risk register	<p>Strategic risks are those that are most likely to have a negative impact on the whole council and its aspirations, should they come to be. Therefore, these risk are reviewed by the corporate management team on a monthly basis.</p> <p>The strategic risk register has been transferred to the council's new IWC Risk management system to enable formal reporting from the system and to further enable risk and mitigation owners to update directly. <i>The rollout of the system will be completed in line with the 2019/22 Service Planning process.</i> A revised Risk Management Framework has been agreed by CMT. This framework is prescriptive in how risks are managed and updated and at which levels of the organisation they should be reported and escalated.</p> <p>The Strategic Risk Register is periodically presented to Audit Committee and clearly indicates to them where mitigation has altered or has not been updated.</p>

Additional demands placed upon the Isle of Wight Council and partners owing to pandemic flu		Assigned to:			
Last updated September 2019		Director of Public Health			
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	16 RED	14 RED	14 RED	16 RED	9 AMBER
Mitigation					
Internal arrangements		<p>The IWC Pandemic Influenza Plan was written by members of the IWC Public Health Team in consultation with the Emergency Management Department in 2016, based on national guidelines and the Hampshire & IOW Local Health Resilience Partnership (LHRP) Health Protection Incident and Outbreak Plan.</p> <p>The Pandemic flu plan should closely link with IWC departments business continuity plans, these plans were reviewed by the IWC Emergency Management Team</p>			
External arrangements		<p>This IWC Pandemic Influenza Plan tested during the Hampshire and Isle of Wight table top exercise, held in December 2016, and updated to incorporate the learning from this exercise and published in January 2017. A further table top exercise will be held in December</p>			

	<p>2019 and the plan will be updated based on the findings of that exercise.</p> <p>Further meetings will be held with key staff from the IOW CCG and NHS Trust to ensure that progress is being made by the Trust to have robust pandemic flu plans in place to support in the development of those plans and check that they are collegiate by September 2019.</p>
Provision of up to date information	<p>Pandemic flu guidance is displayed on the Isle of Wight Council website and covers such things as checklists for businesses and guidance for specific operational settings such as police and fire and rescue services.</p> <p>The risk of pandemic influenza and mitigating actions was raised at the Multi agency Island Resilience Forum held on 05 June 2019.</p>

Insufficient regulatory compliance for buildings under the Council's ownership.			Assigned to:		
Last updated September 2019			Director of Regeneration		
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	6 GREEN	14 RED	14 RED	16 RED	16 RED
Mitigation					
Implement appropriate arrangements for Water Services Management (WSM)		<p>Target date – January 2020</p> <p>Arrangements are currently in place with an external provider (overseen by the Corporate Property Maintenance team), for water systems management. Retendering of this contract is overdue.</p> <p>Work is currently in progress to develop a new relevant specification on which a new contract can be let. The contract and supporting documentation/specification is being prepared by Corporate Property Maintenance Team in conjunction with Procurement and will be put out to tender shortly with a new contractor identified by January 2020</p>			
Formalise arrangements with Isle of Wight Fire and Rescue Service (IWFRS) to undertake fire risk assessments (FRAs) on the council's behalf		<p>Target date – December 2019</p> <p>IWFRS are not undertaking further any further FRA's and discussions regarding potential arrangements post the new combined authority are being hampered by the delay in moving to the new service arrangements. Property Service are putting in place interim arrangements to prioritise FRA's across the council estate.</p>			
Produce and maintain a full record of buildings		Target date – June 2020			

and their respective FRA details	In progress. Corporate Property Maintenance Team have now secured additional surveyor capacity to assist in developing this work which is underway.
Ensure all council properties occupied by vulnerable people have an up to date FRA	Target date – December 2019. IWFRS have undertaken FRA's of council properties which accommodate our most vulnerable people (Goldings, Adelaide, Beulieu etc) but given IWFRS are not undertaking further work, new arrangements are currently being put in place to update these FRA's, if required, by the New Year.
Review the required frequency of water risk assessments for all council properties	Target date – January 2020 This is in progress and forms part of the new contract specification for Water systems Management. The risk assessment frequency is set out in the specification of the new water hygiene contract.
Identify a suitable mechanism to evidence the current safety status of all council properties	Target date – December 2019 A way forward has been identified and will involve changes to existing ICT systems and how data is held and accessed. Initial scoping discussions with ICT have started. Options will be identified including the resources required to implement any new system.

Non-compliance with General Data Protection Regulations (GDPR)			Assigned to: Assistant Director of Corporate Services		
Inherent score	Target score	Current score	Previous scores		
			Sep 19	Jul 19	May 19
16 RED	6 GREEN	10 AMBER	10 AMBER	16 RED	16 RED
Mitigation					
Review of Information Asset Register (IAR) template to better support GDPR compliance	Target date – July 2019 The council has now agreed a template that has been approved with the relevant information governance colleagues, notably ICT. The IAR template was approved by the IIGG on 4 September 2019. <i>All 40 Services have been notified and partially completed IARs have were circulated to them on 10 October.</i>				
Full update of Information Asset Registers	Target date – December 2019				

	<p>The information asset owners will be responsible for updating their asset registers <i>now</i> the new template is available. To ensure this is achieved a Records Management Officer has been recruited to assist asset owners.</p>
<p>Identify the current GDPR status of all ICT systems and record on a central register</p>	<p>Target date – September 2019</p> <p>All ICT related policies are now under review and a central GDPR systems register is being developed.</p>
<p>Identify all staff within services who hold contract management responsibilities</p>	<p>Target date– July 2019</p> <p>The records management officer is working alongside procurement and service managers to identify all contracts</p> <p>The records management officer, working alongside procurement and service managers, <i>has identified all contracts owners, and GDPR contract compliance requests have been issued to all 40 Services</i></p>
<p>Update all contracts over £25,000 to ensure GDPR compliance</p>	<p>Target date – March 2020</p> <p>All contracts entered into after GDPR came in to force (25 May 2018) are compliant and contain GDPR provisions. All contracts before that need required updating id appropriate. Progress is as follows</p> <p><i>There are 97 contracts with start dates before 25.5.18</i></p> <p><i>Of these 97:</i></p> <p>GDPR isn't applicable to 30 of those contracts; <i>32 contracts</i> have either been revised or the contract is coming to an end and procurement process is underway.</p> <p><i>A further 35 will require further investigation and possible action.</i></p>
<p>Conduct gap analysis of GDPR reporting to governance forums and ensure that all issues addressed</p>	<p>Target Date – August 2019</p> <p>The terms of reference of the IIG is being reviewed. Whilst immediate changes, such as procurements team attending the group, have been made a further review to assess regular report content, meeting regularity and meeting Attendees is being completed.</p> <p>The terms of reference of the IIG <i>has been</i> reviewed and agreed. Whilst immediate changes, such as procurements team attending the group, have been made, <i>a further review to assess, meeting regularity and meeting Attendees is being completed. A monthly IGG report is now being generated and supplied.</i></p>
<p>Update Protective Marking Policy and cascade to all staff</p>	<p>Target date – January 2020</p> <p>Policy has been updated and is available on the Council's Intranet</p>

Update IWC Corporate Retention Policy and cascade to all staff	Target date – January 2020 All relevant policy documents have <i>been</i> included in the new IAR template. Additionally all policies are currently being reviewed and relevant amendments being made.
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STRATEGIC CONTEXT

10. Strategic risks are those that have the potential to prevent the council from achieving its strategic priorities. Senior managers 'own' strategic risks according to their particular responsibilities. Strategic risks are brought to the attention of Cabinet in that they are linked to the corporate priorities of the council in the Quarterly Performance Management Report (QPMR). A Quarter 1 report was presented on 12 September 2019.

CONSULTATION

11. The review of each strategic risk has been undertaken by senior managers according to their particular responsibilities. Members of the Corporate Management Team have reviewed the strategic risk register. Cabinet members are also given the opportunity to review risks as part of the QPMR.

FINANCIAL / BUDGET IMPLICATIONS

12. There are no direct financial implications of this report, although many of the controls employed to manage strategic risk do have significant financial and resource implications.

LEGAL IMPLICATIONS

13. The Accounts and Audit Regulations 2015 require that the council reviews its system of internal control including its risk management arrangements. This report is therefore concerned in part with improving the way the council manages risk and also in giving the committee the opportunity to play its part in overseeing risk management arrangements. These are important features in the council's governance arrangements.

EQUALITY AND DIVERSITY

14. The council has a legal duty under the Equality Act 2010 to seek to eliminate discrimination, victimisation and harassment in relation to age, disability, gender re-assignment, pregnancy and maternity, race, religion, sex, sexual orientation and marriage and civil partnership. It is considered that there are no direct equality and diversity implications of this report for any of the protected groups.

OPTIONS

15. Option 1 - Audit Committee approves the strategic risks of the council as set out in paragraph 9.

Option 2 - Audit Committee does not approve the strategic risks of the council as set out in paragraph 9.

RISK MANAGEMENT

16. While this report is concerned with the subject of strategic risk itself, the key risk is that the council fails to recognise the importance of identifying, assessing and managing strategic risk. The result would mean that risks are more likely to occur or that the council will fail to plan for their impact.

RECOMMENDATION

17. Option 1 - Audit Committee approves the strategic risks of the council as set out in paragraph 9.

Contact Point: David Martin, Senior Project Officer – Programme Management
☎ 821000 e-mail david.martin@iow.gov.uk

WENDY PERERA
*Assistant Chief Executive and
Chief Strategy Officer*

CLLR STUART HUTCHINSON
*Deputy Leader and
Cabinet Member for Resources*