

Corporate Risk profile 2008/ 2009

<b>Impact:</b> 1 = Insignificant 2 = Minor Impact 3 = Medium Impact 4 = Major Impact 5 = Major Disaster	<b>Likelihood:</b> 1 = Zero to very low 2 = Unlikely 3 = Likely 4 = Very Likely 5 = Almost Certain
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RISK RATING MATRIX	LIKELIHOOD	IMPACT	Insignificant	Minor	Medium	Major	Major Disaster
			1	2	3	4	5
	Almost certain	5	Green	Yellow	Orange	Red	Dark Red
	Very Likely	4	Green	Yellow	Orange	Red	Dark Red
	Likely	3	Green	Yellow	Orange	Red	Dark Red
	Unlikely	2	Green	Yellow	Orange	Red	Dark Red
	Very Low	1	Green	Yellow	Orange	Red	Dark Red

**Risk Rating:**

**High** (Red)

**Medium** (Yellow)

**Low** (Green)

**Action Status**

**C** Complete

**T** On Target

**M** Moved

**D** Delayed

**N** New

**Strategic Priorities**

**SP1** Creating a Prosperous City

**SP2** Extending cultural opportunities

**SP3** Improving the quality, choice and range of housing

**SP4** Improving health and social care

**SP5** Reducing crime and the fear of crime

**SP6** Raising standards and increasing participation in learning

**SP7** Developing an attractive and accessible city

**SP8** Creating inclusive communities

**Corporate Improvement Objectives:**

**CI01** Delivering customer focussed services

**CI02** Being "One Council"

**CI03** Efficient and effective council

**CI04** Improving partnership working to deliver "One City"

**Profile 1 Sunderland Strategy**

**Council priority = HIGH**

ID	Risks	Impact	Current Controls	Impact	Likelihood	Risk Rating	Recommended Actions March 2007 and updates for 2008	Responsibility	Target Date	progress Update September 2007	Status	progress Update March 2008	Status	
1a	New strategy does not fully reflect the aims and ambitions of the partnership and the city	Impact – not achieving the envisaged better quality of life for people within Sunderland. Fail to change public perception of council performance. Inappropriate allocation of resources	The Strategy is reported and scrutinised by Cabinet, EMT, Partnership Board, GONE, Audit Commission and via CPA.	5	2	10	1a.1	Establish stakeholders needs by carrying out (a) detailed needs assessment (b) development of a Community Strategy	Dave Smith (Deputy Chief Executive)	31/01/08	Needs assessment on target Community Development Strategy produced and awaiting approval by Cabinet	T	Completed. New strategy developed	C
							1a.3	Defining and implementing Area Arrangements	Dave Smith (Deputy Chief Executive)	31/12/07	Work on going with arrangements to be in place following elections in 2008	T	Action transferred to risk 1b.7 To be reviewed following the elections. Target date changed from 31/12/07 to 31/12/08	M
							1a.6	Align Image Strategy to Sunderland Strategy	Dave Smith (Deputy Chief Executive)	31/12/07	Liveable and prosperous City will define this as will visioning work.	T	Completed. New strategy developed	C
							1a.7	Align all relevant policies and strategies to Sunderland Strategy i.e. Local Development Framework and proposed Regeneration Strategy	Dave Smith (Deputy Chief Executive)	31/12/07	To be linked into 15 year strategy	T	Completed. New strategy developed	C
							1a.8	Align ambition and political support	Dave Smith (Deputy Chief Executive)	31/12/07	Fresh Thinking events and policy work with members aligned	T	Completed. New strategy developed	C
							1a.9	Ensure economic forecasts are used to inform strategy	Dave Smith (Deputy Chief Executive)	31/03/08	New issue- to flag up in Sunderland Strategy	N	Completed. New strategy developed	C
1b	Sunderland Partnership fails to deliver objectives outcomes of the Sunderland Strategy and realise the ambitions of the City	Impact – not achieving a better quality of life for people within Sunderland Fail to change public perception of council performance.	All targets within the Sunderland Strategy and LAA are included in Corporate Improvement Plan and are monitored by the Performance Team. These performance reports are scrutinised by Cabinet, EMT, Partnership Board, GONE, Audit Commission and via CPA	5	2	10	1b.1	Identify responsibility and accountability for targets including regional targets	Dave Smith (Deputy Chief Executive)	31/03/08 30/9/08	Strategy and LAA to be developed in parallel. Still awaiting 200 KPI's to be identified by Government	T	To be agreed following sign off of Strategy and agreement of LAA targets. Target date changed from 31/03/08 to 30/09/08	D
							1b.2	Redefine the role of the Sunderland Partnership and the Thematic Groups to provide a co-ordinated and effective governance framework to support delivery of the strategy	Dave Smith (Deputy Chief Executive)	31/03/08 31/12/08	Thematic groups to be reduced from 8 to 5	T	Review of partnership underway by external consultants. Target date changed from 31/03/08 to 31/12/08	D
							1b.3	Define short term, medium term and long term targets for delivery of the strategy/ LAA	Dave Smith (Deputy Chief Executive)	31/03/08 30/9/08	To be output and outcome driven following completion of 1b1	T	To be agreed following sign off of Strategy and agreement of LAA targets. Target date changed from 31/03/08 to 30/09/08	D
							1b.4	Establish more effective performance reporting to stakeholders including the Council	Dave Smith (Deputy Chief Executive)	31/03/08 31/12/08	Value for money to be demonstrated. Performance Management System being developed. Real time data required	T	Action transferred to risk 1b.6 Target date changed from 31/03/08 to 31/12/08	M
							1b.5	Identification of interventions / actions required to achieve all National Indicator sets and local priorities	Dave Smith (Deputy Chief Executive)	31/12/08			New action	N
							1b.6	Establish more effective performance reporting to stakeholders including the Council Redefine the performance management framework to deliver outcomes for local people	Dave Smith (Deputy Chief Executive)	31/12/08	Value for money to be demonstrated. Performance Management System being developed. Real time data required	T	Previously action 1b.4 Target date changed from 31/03/08 to 31/12/08	D
							1b.7	Defining and implementing Area Arrangements	Dave Smith (Deputy Chief Executive)	31/12/07 31/12/08	Work on going with arrangements to be in place following elections in 2008	T	Previously action 1a.3. To be reviewed following the elections. Target date changed from 31/12/07 to 31/12/08	D
1c	Fail to obtain and optimise relative funding/managing cessation of fixed term special funding resources to deliver Sunderland Strategy .	Not achieving a better quality of life for people within Sunderland Fail to achieve value for money	Medium Term Financial Strategy External Funding arrangement protocol	3	3	9	1c.1	Align financial strategy with business objectives of the Sunderland Partnership and Thematic Groups	Dave Smith (Deputy Chief Executive)	31/03/08	Linked to MTFs. Uncertainty over external funding streams.	T	Action transferred to 1c.5. Still uncertainty over external funding streams. Now contained within action to finance targets within LAA/ Sunderland strategy. Target date changed from 31/03/08 to 31/03/09	M
							1c.5	Align financial strategy with business objectives of the Sunderland partnership and Thematic Groups Identify a resource framework for each target within LAA Sunderland Strategy	Dave Smith (Deputy Chief Executive)	31/03/08 31/03/09	Linked to MTFs. Uncertainty over external funding streams.	T	Previously action 1c.1 Still uncertainty over external funding streams. Now contained within action to finance targets within LAA/ Sunderland strategy. Target date changed from 31/03/08 to 31/03/09	D

1d	Failure to achieve effective regional representation Failure to maximise International, sub regional and regional opportunities	Unable to maximise delivery of strategic objectives if constrained by regional and sub-regional allocations / funding. Failure to evidence impact.	Membership of appropriate regional bodies Joint appointments with Health e.g. Director of Public Health and Deputy Director HH&AS Lead Authority for the City Region	2	3	6	1d.1	Maximise regional allocation / funding opportunities.	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/08	Regional funding opportunities continue to be accessed (Transferred from profile 27)	T	Effective regional representation now achieved. Action linked to 1d.5.	C
							1d.2	Continue to identify and take opportunities on regional representative bodies.	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/08	CIX recently appointed Chair of Tyne & Wear City region partnership (Transferred from profile 27)	T	Effective regional representation now achieved. Action linked to 1d.5.	C
							1d.3	Continue to respond as a Council to issues / consultation from national and regional bodies.	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/08	Continue to respond appropriately (Transferred from profile 27)	T	Effective regional representation now achieved. Action linked to 1d.5.	C
							1d.4	Take into account the possible regionalisation of Police; Fire Authorities and restructure of NHS.	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/08	Position is monitored and acted upon appropriately by partnerships involving the organisations (Transferred from profile 27)	T	Taken into account for 07/08. Monitored on an ongoing basis. Action linked to 1d.5.	C
							1d.5	Maximise opportunities through: City Region Multi Area Agreements T&W public Sector Boards Public Sector working in appropriate spatial areas	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	Annual			New action	N
1e	Failure to maximise opportunities through community cohesion and diversity to deliver safer and stronger communities	Increased community tension and extremism locally. Reputation locally and nationally. Social and economic consequences	Community cohesion contingency plans in place with clear roles and responsibilities involving key partners	5	3	15	1e.1	Community cohesion issues to inform development of local area plans.	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N
Strategic priorities/ Cap Links: SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04														

**Profile 2 Improvement Agenda**

**Council priority = HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	progress Update September 2007	Status	progress Update March 2008	Status		
2a	Failure to deliver, manage and quantify overall service improvements	Reducing satisfaction and perception levels - all stakeholders - including residents, users/customers, employees, wider audiences <b>Failure to deliver corporate improvement objectives</b> <b>Negative reputational risk</b>	CPA & APA process CPA Action plan and monitoring Performance Improvement Team provides support, challenge, advice and guidance on all activities including consultation, performance information, performance review, self assessment and support to external inspection and audit work to all parts of the Council. Robust procedures for collecting/ recording data and for using this data to calculate BVPI's (national criteria) Local performance indicators.	5	2	10	2a.1	Utilise needs analyses (see profile 1) to develop resident-focussed approach to improvement (including customers) that meets differing needs	Dave Smith (Deputy Chief Executive)	31/03/08	Needs analysis being developed	T	Completed	C
							2a.2	Further develop a resident/customer focus culture in the council	Dave Smith (Deputy Chief Executive)	31/03/08	Customer service strategy currently being drafted	T	Customer strategy developed	C
							2a.3	Ensure image strategy and council communication plans effectively communicates council achievements to all stakeholders	Dave Smith (Deputy Chief Executive)	31/03/08	Address perception gap re satisfaction levels	T	Top line results from MORI indicate improved position	C
							2a.4	Further develop a performance culture with appropriate challenge and accountability for performance and target failure	Dave Smith (Deputy Chief Executive)	31/03/08	Greater focus on value for money and target setting.	T	Performance clinics embedded at Directorate level	C
							2a.5	Establish Key Data Sets and new local PI's to complement existing KPI's to measure and analyse overall service improvement	Dave Smith (Deputy Chief Executive)	31/12/08	Awaiting details from Government. Target date has been changed from Sep 07	D	Overall framework being developed around National Performance Indicators Included within action 2s.2	M
							2a.6	Identify the new actions required to support the Comprehensive Area Assessment (CAA risk based approach)	Dave Smith (Deputy Chief Executive)	31/12/08	Government consultation still on going Framework continues to be developed. Target date has been changed from Sept 07	D	CAA road map to be developed. Included within action 2s.3	M
							2a.7	Resource and implement improvement plans to address unsatisfactory areas in assessment reports. <b>Resource and target Councils improvement programme to address unsatisfactory areas in assessment reports</b>	Dave Smith (Deputy Chief Executive)	30/04/08	Framework continues to be developed and included within Corporate Improvement Plan. Target date has been changed from Sep 07	D	Included within action 2s.4	M
							2a.8	Ensure appropriate SMART data is available to enable an effective IT performance management system.	Dave Smith (Deputy Chief Executive)	31/03/08	Continues to be developed	T	In place	C
							2a.9	Further utilise performance management to achieve an overall satisfactory level of target achievement across the Council, Partnership and thematic groups	Dave Smith (Deputy Chief Executive)	31/03/08	Performance management processes continue to be developed in all areas	T	Included within actions 2k 1-3	M
2b	Business Improvement Programme fails to improve the overall quality of services provided to customers	Failure to utilise Council resources to deliver value for money to stakeholders	Approach and implementation under guidance of EMT providing challenge and assurance to ensure the programme's projects are fit for purpose. A corporate Programme and Project Office (PPO) has been established to co-ordinate the Business Improvement Programme.	4	2	8	2b.1	Develop programme management documentation that addresses the following Communication - improved understanding of the programme (Communication Plan) Benefits realisation linked to customer service (Benefits Management Strategy and Benefits Realisation plan) Cultural issues: • readiness to change • capacity to change • member support to the change programme	Dave Smith (Deputy Chief Executive)	31/12/07	Programme addressing issues by actions identified 2b2-2b7. Member support obtained when BIP programme agreed by cabinet in July 07	T	Programme management documentation developed.	C
							2b.2	Develop an overarching Communication Strategy for improvement	Dave Smith (Deputy Chief Executive)	31/10/07	New action	N	Report to adopt strategy going to EMT March 08.	C
							2b.3	Roll out produce a BIP Communications Implementation plan	Dave Smith (Deputy Chief Executive)	31/12/07	New action	N	Completed.	C
							2b.4	Develop a Benefits Management Strategy for the BIP	Dave Smith (Deputy Chief Executive)	31/12/07	New action	N	Completed	C
							2b.5	Produce a Benefits Realisation plan for the BIP	Dave Smith (Deputy Chief Executive)	31/12/07	New action	N	Completed.	C
							2b.6	Develop Benefit profiles for all programme level benefits defined in the BIP	Dave Smith (Deputy Chief Executive)	31/12/07	New action	N	Completed.	C
							2b.7	Cultural Change. Introduce pilot project by developing new working operating model for the Chief Executives Office	Dave Smith (Deputy Chief Executive)	31/03/08	New action	N	Completed. Review project to develop a more systematic approach (see action 2b.12)	C
							2b.8	"Improvement" Communication plan to be implemented	Dave Smith (Deputy Chief Executive)	30/09/08			New action	N
							2b.9	Implementation of the Benefits Realisation plan in line with targets and timescales	Dave Smith (Deputy Chief Executive)	30/09/08			New action	N
							2b.10	Visioning workshops to be undertaken to ensure projects deliver agreed programme benefits (including Customer Service Access Strategy)	Dave Smith (Deputy Chief Executive)	31/07/09			New action	N
							2b.11	Post implementation reviews to be undertaken for Tranche 1 projects	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N
							2b.12	Cultural change Review pilot project undertaken in CX office to develop a more systematic approach	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N
<b>FAILURE TO DELIVER Corporate Improvement plan</b>														
<b>CI01 Failing to Deliver customer focussed services- putting the customer at the centre of service delivery</b>														
2c	(CI01/1) -Failure to provide new access channels	Failure to maximise opportunities through new access channels Service design and delivery do not meet customer needs Reducing satisfaction and perception levels - all stakeholders - including residents,	Investment in the Contact Centre and Customer Service Centre network roll out. Planned migration of all appropriate services as agreed in the Council's Business Improvement Programme	5	2	10	2c.1	Enhancement of Customer Service Centre network	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
							2c.2	Enhancement of access channels e.g. internet	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
							2c.3	Support the co-location and integration of services with public sector partner organisations	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
							2c.4	Reduce face to face service payments and increasing remote payment	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
2d	CI01/2- Failure to obtain customer feedback and views to shape services	Service design and delivery do not meet customer needs Reducing satisfaction and perception levels - all stakeholders - including residents	Annual residents survey, Budget consultation, Use of Citizen Panel, Community Spirit, Independent Advisory Groups (IAGS)	5	2	10	2d.1	Further develop Customer segmentation model to support area based policy development	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
							2d.2	Continue to develop Corporate Consultation Strategy	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
							2d.3	Development of area based consultation frameworks	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
2e	(CI01/3) Failure to use the findings from reviews to shape and improve services	Failure to secure improvement and value for money	Annual Audit and Inspection Letter, CPA and Annual Service Block, external inspections	5	2	10	2e.1	Reviews to inform Business Improvement Programme and service enhancement projects	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
							2e.2	Reviews to inform Service review improvement programme	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	

2f	(CI01/4) Failure to use ICT to enhance service access and delivery						2f.1	See profile 9 - ICT							
<b>CI02 Failure to Be One Council</b>															
2g	(CI02/1) Failure to develop and invest in our staff to deliver first class services	Staff do not feel valued and respected	Human Resources Strategy, Workforce Diversity plan, Service transformation team	3	3	9	2g.1	Support the building of skills and capacity within the organisation for change and modernisation	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
							2g.2	Further co- ordinate workforce improvement projects including Investors in people and flexible working	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
2h	(CI02/2) Services and workforce are not inclusive						2h.1	See profile 10 - Inclusive Communities							
2i	CI02/3 Lack of capacity to provide leadership and deliver effective services	Failure to develop managers to lead change and continuous improvement	Six monthly SMT events, Corporate Improvement Forum, Sunderland Leadership Programme	3	3	9	2i.1	Enhance the six monthly SMT events and programmes for CIF and SLIP to address leadership issues	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
2j	CI02/4 Failure to Improve Council communications	Failure to engage with residents influence perceptions and satisfaction	Image strategy, Sunrise	4	3	12	2j.1	Ensure image strategy and council communications effectively communicate achievements and progress to all stakeholders	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
<b>CI03 Failure to have an Efficient and Effective Council</b>															
2k	CIO3/1 Failure to provide a consistent performance framework and culture across the council	Failure to continuously improve services	CPA, CAA, and external inspection Corporate performance Management Framework Performance clinics Performance reporting to EMT, Cabinet and Scrutiny	5	3	15	2k.1	CAA improvement planning	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
							2k.2	Implementation of performance management	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
							2k.3	Enhanced role for Cabinet, Scrutiny and EMT in performance improvement	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
2l	CIO3/2 Failure to provide services in most efficient, economic, and sustainable way	Failure to achieve value for money and maximise use of council resources	Council VFM framework, Financial arrangements, MTFs, VFM assessment and use of resources assessment, VFM profiles, Annual efficiency statements, Carbon management plan	5	2	10	2l.1	Targeted investment through Strategic Investment Fund	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
							2l.2	Deliver Corporate Efficiency projects	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
							2l.3	Deliver Specific Efficiency reviews	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
							2l.4	Carbon management projects to manage and reduce consumption of carbon based fuels	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
2m	CIO3/3 Acquiring goods works and services						2m.1	See profile 21 - Commissioning/ Procurement							
2n	CIO3/4 Failing to provide a standard methodology to manage projects effectively						2n.1	See profile 8 - Programmes/ Projects							
2o	CIO3/5 Failure to deliver the capital strategy						2o.1	See profile 20 - Capital Strategy							
2p	CIO3/6 Failure to Manage Risks	Failure to achieve council's priorities and objectives	Corporate Risk Management Strategy and Framework. Corporate Risk Profile.	5	2	10	2p.1	Continue to report annually to Cabinet, and Audit and Governance Committee, on the effectiveness of the Risk Management process	Dave Smith (Deputy Chief Executive) Phil Barrett / Paul Dobson / Helen Paterson / Neil Revelly / Keith Beardmore Lead/ Bob Rayner (All Chief Officers)	31/03/09			New action	N	
2p	CIO3/7 Failure to plan for Emergency situations						2q.1	See profile 26 - Resilience to Major Incidents					New action	N	
2r	CIO3/8 Failure to use the audit function to improve services	Failure of governance arrangements and operations not being carried out as planned	Annual audit programme	5	2	10	2r.1	Align the annual audit programme within the overall improvement framework	Dave Smith (Deputy Chief Executive) Keith Beardmore	31/03/09			New action	N	
2s	CIO3/9 Failure to deliver CPA improvement and prepare for CAA	Failure to use external inspection and assessment to assist improvement	CPA action planning CAA roadmap, Direction of Travel self assessment	5	2	10	2s.1	Develop and resource CAA action plan and council improvement priorities	Dave Smith (Deputy Chief Executive)	31/10/08			New action	N	
							2s.2	Establish Key Data Sets and new local PI's to complement existing KPI's to measure and analyse overall service improvement	Dave Smith (Deputy Chief Executive)	31/12/08	Awaiting details from Government. Target date has been changed from Sep 07	D	Previously action 2a.5. Overall framework being developed around National performance indicators.	T	
							2s.3	Identify the new actions required to support the comprehensive area assessment (CAA risk based approach)	Dave Smith (Deputy Chief Executive)	31/12/08	Government consultation still on going Framework continues to be developed. Target date has been changed from Sept 07	D	Previously action 2a.6. CAA road map to be developed.	T	
							2s.4	<del>Resource and implement improvement plans to address unsatisfactory areas in assessment reports.</del> Resource and target Councils improvement programme to address unsatisfactory areas in assessment reports	Dave Smith (Deputy Chief Executive)	30/04/08	Framework continues to be developed and included within Corporate improvement plan Target date has been changed from Sep 07	D	Previously action 2a.7	T	
<b>CI04 Failure to improve partnership Working to deliver 'One City'</b>															
2t	CIO4/1 Failure to deliver the Sunderland strategy LPSA2 and LAA						2t.1	See profile 1 - Sunderland Strategy							
2u	CIO4/2 Failure of the Sunderland Partnership						2u.1	See profile 1 - Sunderland Strategy							
2v	CIO4/3 Failure of partnership working						2v.1	See profile 22 - Partnerships							
2w	CI04/4 Failure to improve the City's image	Reputation of the City declines	Sunderland marketing group, Sunderland Vision	4	3	12	2w.1	Roll out the City Marketing Strategy	Dave Smith (Deputy Chief Executive)	31/03/09			New action	N	
Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04															

**Profile 3 Physical Regeneration Activity**

**Council priority = HIGH**

ID	Risks	Impact	Current Controls	Impact	Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	progress Update September 2007	Status	progress Update March 2008	Status	
3a	No long term citywide vision and strategy in place for physical regeneration (which incorporates an integrated approach to physical and social regeneration).	Failure to optimise regeneration and development opportunities which leads to an inability to prioritise work and effort effectively. Sunderland's competitive status across the North East would weaken resulting in potential reduced external funding and lessened market development interest. Inability to help stem outward migration. General decline of city circumstances. Failure to co-ordinate the physical regeneration activity successfully. Unable to implement City Centre vision and ambition.	ARC Delivery Plan	5	3	15	3a.1	Develop a city wide physical regeneration vision and strategy with long term outcome focussed targets reflecting the work currently undertaken by the ARC and align it with priorities set out in the Economic Strategy.	Phil Barrett (Director of D&R)	31/03/08 30/09/08	A physical regeneration stocktake has been completed. The Planning Framework has been clarified and this will be developed into an overall vision/strategy for the city. A draft Regeneration Strategy to be developed by Dec 07.	T	A midpoint review of Arc underway. The Arc Business Plan will inform the formation of a regeneration strategy for the whole city (current city centre proposals will be placed within this wider context). Target date changed from 31/03/08 to 30/09/08 as we await economic strategy in order to align regeneration with it. In the meantime, in the process of pulling together information from other initiatives and documentation e.g. LDF to inform the Regeneration Strategy.	D
							3a.2	Consideration to be given for the utilisation of the LABV (Local Asset Based Vehicle) as a means of securing long term funding for physical regeneration.	Phil Barrett (Director of D&R)	31/12/07 (Phase 1)	Deloitte appointed to investigate the viability of the LABV. Investigation still ongoing. Target date changed from June 07	D	Report on consultant's findings (Phase 1 study: feasibility/evidence to support establishing a LABV) was completed and delivered to Cabinet Jan 08. Target date met. (See new actions 3a.4 & 5)	C
							3a.3	Work with key stakeholders to establish an interim vision and direction (as part of update to Sunderland Strategy)	Phil Barrett (Director of D&R)	31/03/08	Information being fed into the refreshed version of the Sunderland Strategy. Target date changed from Sept 07	D	Action complete. Information fed into the new revised Sunderland Strategy.	C
							3a.4	Following initial study, further consideration be given to the LABV (detailed information/requirements etc to be provided) (Linked to action 3a.2)	Phil Barrett (Director of D&R)	31/12/08 (Phase 2)			New action	N
							3a.5	Procurement of Investment Partners and implementation of LABV.	Phil Barrett (Director of D&R)	31/7/09 (Phase 3)			New action	N
							3a.6	Decision to be made on development of Local Housing Company (i.e. LABV or LHC)	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/08/08	New action raised following CRMG meeting. One of the major topics outlined in the Green Paper is Local Housing Companies and Sunderland has been chosen as 1 of 14 pilot areas to develop a company to build new housing. .	N	D&R update: Need to understand the relationship between this and the LABV. This will be determined through the LABV evaluation process. HHAS update: Consultant appointed for 6 months to identify sites (currently in Council ownership) that would be suitable for new build housing under the LHC agenda. Report expected Aug 08. Target date changed from 31/3/08 to 31/8/08. Linked to 14a7	T
3b	Lack of a co-ordinated approach and investment (inc partners) surrounding the learning and skills agenda resulting in low skills level within the City.	Potentially putting a strain on future economical development and economic conditions of the city and leaving a large population of the city more vulnerable.	Relationship with Learning and Skills Council	5	4	20	3b.1	Engage all relevant stakeholders to identify and plan for the skills requirements to support Sunderland's medium / long term economic development	Phil Barrett (Director of D&R)	31/03/08	Meeting with LSC to set out next steps organised for October 2007.	T	Feed into the T&W City Region Employment Consortium is a new partnership of Local Authorities, One North East, the LSC, Jobcentre Plus, GONE, employers and the voluntary and health sectors. It will be the main body responsible for strategy on employment and worklessness, and is designed to improve the area's employment rate, particularly for disadvantaged groups, by coordinating support for jobless people. Action transferred to 32b.1	M
							3b.2	Co-ordinate investment and learning initiatives (with partners) to act upon emerging skills requirements	Phil Barrett (Director of D&R)	31/03/08	Implementation plan and process map under development with formal linkages to the regional CEI (Construction Employment Integrator) and the NEP (National Employment Panel).	T	Cabinet approved the enforcement protocols and we are trying to move forward to enforce the use of Local Labour Clauses. Looking to target training and employment requirements for capital programmes. Action transferred to 32b.1	M
							3b.3	Develop the skills base within the city in line with the emerging strategy (in liaison with Learning Skills Council)	Phil Barrett (Director of D&R)	31/03/08	Skills Register in place and used by the Job Linkage service (selected by the T&W City Region Employment Consortium).	T	The Hanlon Skills Register has been accepted as the chosen tool for the City Region. It is anticipated that the Voluntary Sector will be up to speed with this by April 08. Action transferred to 32b.1	C
3c	There is a risk of a potential shift in powers and delegation away from the Local Authority (for transport).	Lack of funding to support City priorities	Local Transport Plan	5	3	15	3c.1	Development of City Region Transport Board	Phil Barrett (Director of D&R)	01/03/09		New action Update: There is a governance review to take place (dealt with under the new Local Transport Act). This review cannot take place until the Act has come into force. Work is to be undertaken this financial year to feed into the review. (Newcastle City Council taking the lead on this)	N	

Strategic Priorities/ CIP Links: SP1, SP3, SP4, SP5, SP7, SP8, C103, C104

## Profile 6 Outcomes for Children and Young People

Council Priority = **MEDIUM**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status		
6a	Failure to improve health, education and safety of children and young people	Fail to deliver 5 outcomes Low scoring in CPA/ annual assessment process Do not meet public expectations Reputational risk	Annual assessment process Children and Young People's Plan Children's Trust scrutiny process Portfolio holder for Children's Services Inspection team		6a.1	Deliver strategic priorities 1 to 8 outlined in the Children's Services strategic plan with schools and Partners	Dr Helen Paterson (Director of Children's Services)	31/03/10	Long term objectives on target	T	This risk is superseded by 6f and actions 6f.1 to 6f.11. These actions are to be completed in order to achieve the strategic priorities	M	
					6a.2	Secure strong partnerships with the TPCT, schools and other key partners	Dr Helen Paterson (Director of Children's Services)	31/03/10	Shared approach developing. Progress still to be made with Joint Commissioning and Pooled/ Shared budgets	T	This action is on target. It is moved to risk 6i, action 6i.2	M	
6b	Failure to secure improved outcomes that meet requirements of external assessment by OfSTED	Low score in CPA/ Annual Assessment Fail to deliver 5 outcomes Do not meet public expectations Reputational risk	Annual assessment process Children and Young People's Plan Children's Trust scrutiny process Portfolio holder for Children's Services Inspection team		6b.1	To fully understand the new external assessment arrangements to be implemented by April 2009	Dr Helen Paterson (Director of Children's Services)	30/04/08	Continue to work with OfSTED and Field Forces (Gov Office North East)	T	Action Complete	C	
					6b.2	To establish robust performance management practices to secure improved outcomes and meet requirements of external assessment	Dr Helen Paterson (Director of Children's Services)	30/04/08	On target. To be linked with Local Area Agreement	T	Actions is on target. This risk has moved into the directorate risk plan, reference DIR2	M	
6c	Lack of sustainability for short term funding	Inability to deliver services/ fail to deliver 5 (ECM) outcomes/ reputational risk & public perception	Management protocol agreed by CSLT April 2007 Re-deployment policy in draft form April 2007		6c.1	Establish exit strategies for affected programmes	Dr Helen Paterson (Director of Children's Services)	31/03/08	Interim arrangements in place. Awaiting outcome of Spending Review	T	Action Complete	C	
6d	Model of future provision for Connexions is not agreed	Governance is not in place and possible delay of transition to March 2009	Communication between the Chief Executive of Connexions and Director of Children's Services Tyne and Wear Connexions Transition Group		6d.1	Disaggregation of Tyne and Wear Connexions to commence	Dr Helen Paterson (Director of Children's Services)	31/03/08	Model agreed with Sunderland responsible for Hub services. Budget issues over service provision	T	Action Complete	C	
6e	Failure to establish change management processes to integrate staff and systems successfully (including external partners)	Systems and staff are not integrated Low staff morale Bad publicity	Resources Action Plan Change for Children Strategy		6e.2	Secure clarity around a shared change for children strategy including locality based working, workforce development strategy, preventative strategy, joint commissioning strategy and participation strategy	Dr Helen Paterson (Director of Children's Services)	31/03/09	To be considered in refresh of Children's and Young Peoples Plan	T	Action Complete	C	
6f	Failure in the Council's accountable body role to coordinate the Change for Children Strategy	1. Failure to deliver locally focussed services for children and young people 2. Failure to improve health, safety and attainment levels for children and young people 3. Failure to improve information sharing amongst practitioners 4. Failure to improve outcomes linked to parenting 5. Failure to improve outcomes for vulnerable young people 6. Do not meet public and partner expectations 7. Reputational risk 8. Negative report from Audit Commission on Children's Trust governance and resource management. 9. Poor Annual Performance Assessment (APA).	1. Annual Performance Assessment Framework 2. OfSTED 3. GONE Field Forces 4. Children and Young People's Plan 5. Children's Trust scrutiny process 6. Portfolio holder for Children's Services 7. Children's Services Review Committee 8. Change for Children Co-ordination Group 9. Significant partnership risk assessment	5	2	10	6f.1	Secure strong Children's Trust arrangements by external challenge and effective performance management arrangements.	Dr Helen Paterson (Director of Children's Services)	31/03/10		New action which supersedes action 6a.1	N
							6f.2	Have in place a Youth Offer and action plan for Integrated Youth Support Services	Dr Helen Paterson (Director of Children's Services)	31/03/09		New action which supersedes action 6a.1	N
							6f.3	Roll out Common Assessment Framework across services for children	Dr Helen Paterson (Director of Children's Services)	31/12/08		New action which supersedes action 6a.1	N
							6f.4	Plan and prepare for the implementation of National Contact Point ICT Project	Dr Helen Paterson (Director of Children's Services)	31/03/09		New action which supersedes action 6a.1	N
							6f.5	Introduce and embed Contact Point across services for children	Dr Helen Paterson (Director of Children's Services)	31/03/10		New action which supersedes action 6a.1	N
							6f.6	Implement a multi-agency Parenting Strategy agreed by the Parenting Board in April 2008	Dr Helen Paterson (Director of Children's Services)	31/03/10		New action which supersedes action 6a.1	N
							6f.7	Improve systems to measure outcomes for vulnerable children and young people (linked to national project – Narrowing the Gap)	Dr Helen Paterson (Director of Children's Services)	31/03/09		New action which supersedes action 6a.1	N
							6f.8	To have 19 Children's Centres operating.	Dr Helen Paterson (Director of Children's Services)	31/03/10		New action which supersedes action 6a.1	N
							6f.9	Have in place integrated service provision with a preventative focus using locality based working practices.	Dr Helen Paterson (Director of Children's Services)	31/03/11		New action which supersedes action 6a.1	N
							6f.10	Increased focus on vulnerable young people in the Children and Young People's Plan 2009-12.	Dr Helen Paterson (Director of Children's Services)	31/03/09		New action which supersedes action 6a.1	N
							6f.11	Achieve the objectives in the Every Disabled Child Matters Charter	Dr Helen Paterson (Director of Children's Services)	31/03/11		New action which supersedes action 6a.1	N
6g	Fail to establish joint commissioning arrangements across Children's Services and with Children's Trust Partners	1. Services for children and young people commissioned on a needs and value for money basis. 2. Value for money and efficiencies identified as a result of Commissioning Strategy. 3. Failure to reflect needs of children and young people fully in service provision.	1. Annual Performance Assessment Framework 2. GONE Field Forces 3. Children's Trust Joint Commissioning Group. 4. Children and Young People's Plan 5. Value for money working practices	4	3	12	6g.1	Establish a shared model and framework for joint commissioning arrangements with Children's Trust partners.	Dr Helen Paterson (Director of Children's Services)	31/03/09		New action	N
							6g.2	Have in place secure joint commissioning arrangements with Children's Trust partners.	Dr Helen Paterson (Director of Children's Services)	31/03/11		New action	N
							6g.3	Have in place a Commissioning Strategy for Children's Services Directorate	Dr Helen Paterson (Director of Children's Services)	31/03/09		New action	N
6h	Failure to achieve a 'good' rating in both safeguarding and enjoy and achieve.	1. Failure to achieve a 'good' overall judgement for Children's Services in APA in 2008 2. Overall adequate for Children's Services	1. Annual Performance Assessment Framework 2. GONE Field Forces 3. Children's Trust monitoring of post JAR action plan 4. BTP Review 5. I&DEA peer review 6. Monthly monitoring by CSLT of post JAR action plan	5	2	10	6h.1	Implement recommendations from the Joint Area Review inspection report of May 2007.	Dr Helen Paterson (Director of Children's Services)	31/03/09		New action	N
							6h.2	Implement recommendations from BTP review of the IRT and of I&DEA peer review.	Dr Helen Paterson (Director of Children's Services)	31/03/09		New action	N

6i	Failure to strengthen engagement with key partners.	1. Failure to improve understanding of shared agenda at strategic level and to include priorities in future plans and strategies. 2. Staff in schools do not form part of locality focused service provision and are unable to secure earlier intervention and preventative services.	1. Annual Performance Assessment Framework 2. GONE field forces 3. Ousted focus on school's engagement with ECM outcomes 4. Children's Services indicators within the local area agreement 5. Children's Trust scrutiny process	4	2	10	6i.1	Secure stronger links between the Children's Trust and the Local Strategic Partnership by sharing membership and agenda.	Dr Helen Paterson (Director of Children's Services)	31/03/09			New action	N
							6i.2	Secure stronger links between the Children's Trust and the Teaching Primary Care Trust Board by sharing membership and agenda.	Dr Helen Paterson (Director of Children's Services)	31/03/10	Shared approach developing. Progress still to be made with Joint Commissioning and Pooled Shared budgets	T	Action on Target. Previously action 6a.2	T
							6i.3	As part of the Prevention Strategy, engage schools as key partners in linking attainment to the Every Child Matters outcomes	Dr Helen Paterson (Director of Children's Services)	31/03/09			New action	N
6j	Failure to School Place Plan for the Future including implementation of BSF and academies programme	1. Inappropriate mix of school places across the city 2. Primary Capital Strategy does not deliver investment in primary schools and transformed environments 3. Pennywell/ Quarry View Academy not open by September 2008 4. Failure to build three Academies by September 2009. 5. New secondary school in Washington not open by September 2009. 6. Failure to rebuild and refurbish three schools by January 2010 7. Failure to improve remaining secondary schools in the city 8. Failure to transform learning resulting in improving progress, value added and outcomes at Key Stages 3 and 4. 9. Failure to successfully transfer staff to academies and service providers where necessary. 10. Failure to secure future investment by Partnership for Schools in Wave 2 Schools.	1. Partnership for Schools 2. School Place Planning Executive Board 3. BSF Project Board 4. BSF Project Governance	5	2	10	6j.1	Project manage BSF Wave 1 Programme with a focus on standards and transformation	Dr Helen Paterson (Director of Children's Services)	31/03/09			New action	N
							6j.2	Project management (and contract management of ICT and Facilities Management service providers) BSF Wave 1 Programme	Dr Helen Paterson (Director of Children's Services)	31/03/10			New action	N
							6j.3	Contract manage ICT and Facilities Management in Wave 1 programme	Dr Helen Paterson (Director of Children's Services)	31/03/11			New action	N
							6j.4	Roll out of CPD programme for staff in Wave 1 and wave 2 schools	Dr Helen Paterson (Director of Children's Services)	31/03/11			New action	N
							6j.5	Undertake TUPE process for staff affected by the Wave 1 and wave 2 BSF/Academies programme	Dr Helen Patterson (Director of Children's Services)	31/03/11			New action	N
							6j.6	Plan Strategic Business Case for Wave 2 BSF, in the context of School Place Planning for the Future Review.	Dr Helen Paterson (Director of Children's Services)	31/03/10			New action	N
							6j.7	Plan Outline Business Case of Wave 2 BSF, with potential for implementation of Final Business Case prior to indicative 2012 roll out	Dr Helen Paterson (Director of Children's Services)	31/03/11			New action	N
							6j.8	Review of school places	Dr Helen Paterson (Director of Children's Services)	31/03/09			New action	N
							6j.9	Develop and implement proposals for school places	Dr Helen Paterson (Director of Children's Services)	31/03/10			New action	N
Strategic Priorities/ CIP Links: SP1, SP2, SP4, SP6, SP7, SP8, CI01, CI02, CI03, CI04														

Profile 8 Programmes/ Projects

Council Priority = MEDIUM

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status			
8a	Failure to successfully implement a further develop the corporate approach to programme and project management	Failure to successfully deliver projects	A Project Management Methodology Working Group has been set up to encourage the use of and provide feedback on the Councils Project Management Methodology  Directorate Link Officers (DLO) have been nominated in each directorate, these officers are responsible for co-ordinating project management in their directorates	3	3	9	8a.1a	Continue to implement the Council's Project Management Methodology The objectives include:- -To improve the way that projects are delivered. -To embed the methodology and as a result develop a more consistent approach across all project work. -To support the development of a common understanding of management roles in relation to projects (EMT, DMT, individual Project Boards).  The scope of the Project include:- How projects are delivered Support Training Quality Assurance: Management: Realising benefits	Dave Smith (Deputy Chief Executive)	31/03/08	The methodology project is underway with a council wide implementation group in place.	T	Action complete	C	
							8a.1b	Review remit and role of Project Management Methodology Working Group to be refocused to ensure objectives are met.	Dave Smith (Deputy Chief Executive)	31/03/08 31/07/08	new action	N	Delayed target date revised to 31/07/08	D	
							8a.1c	Increase the Council's programme management capability by training relevant officers in Managing Successful Programmes (MSP)	Dave Smith (Deputy Chief Executive)	31/12/07	new action	N	Action complete	C	
							8a.3	Council wide register of projects to be compiled	Dave Smith (Deputy Chief Executive)	31/03/08 30/09/08	new action	N	Delayed Revised target date of 30-9-08	D	
							8a.4	Carry out analysis of register to identify a common governance approach	Dave Smith (Deputy Chief Executive)	31/12/08	new action	N	On target To be carried out when register is completed	T	
							8a.5	Further development of PPM intranet site	Dave Smith (Deputy Chief Executive)	30/09/08	new action	N	On target	T	
							8a.6	Project Methodology Working Group to review areas below to identify opportunities for improvement.							
							(i) Business Analysis Business re engineering	Dave Smith (Deputy Chief Executive)	30/12/08		New action	N			
							(ii) Resource planning	Dave Smith (Deputy Chief Executive)	30/09/08		New action which superseded actions 8b.2 and 8b.3	T			
							(iii) Stakeholder identification and analysis	Dave Smith (Deputy Chief Executive)	30/12/08		New action	N			
(iv) Identification, ownership and realisation of benefits	Dave Smith (Deputy Chief Executive)	30/12/08		New action	N										
(v) Project review procedures	Dave Smith (Deputy Chief Executive)	30/12/08		New action	N										
8b	Lack of Capacity and skills to deliver diverse portfolio projects/ programmes	Inability to effectively deliver and manage change,	Over 350 officers have attended the Council's project management training Approximately 70 officers are qualified PRINCE2 practitioners	4	4	16	8b.1	Ensure the successful delivery of the Building Organisational and Leadership Capacity Project which aims to address related organisation development and capacity issues including · management culture, · one organisation approach, · consultation to develop understanding of the key processes underlying the City Council's service delivery.	Dave Smith (Deputy Chief Executive)	31/03/08	Leadership project on target, but this will not address all capacity and skills issues. See actions 8B1i and 8B1ii	T	Completed Leadership programme continues to be delivered	C	
							8b.2	Skills analysis to be undertaken within methodology project	Dave Smith (Deputy Chief Executive)	30/09/08	New action	N	Action on target and superseded by 8a.6(ii)	M	
							8b.3	Capacity analysis to be carried out following compilation of register	Dave Smith (Deputy Chief Executive)	31/12/08	New action	N	Action on target and superseded by 8a.6(ii)	M	
							8b.4	Directorates to review their Project Management skills and capacity	Dave Smith (Deputy Chief Executive) and all Directors	31/12/08		New action	N		
							8b.5	Project Methodology Working Group to promote the value of skilled and experienced in-house Project Managers.	Dave Smith (Deputy Chief Executive)	31/07/08		New action	N		
8c	Failure to obtain value for money through the use of from consultants and agency workers	Ineffective use of resources	Constitution (Appendix to Contract Procedural rules Procurement Strategy)	3	3	9	8c.3	PPO to review role of consultants and appropriate governance, utilising the Constitution, PID, procurement and other processes. PPO and Corporate procurement to review guidelines for the procurement of consultants/ agency workers and consider a framework agreement.	Dave Smith (Deputy Chief Executive)	31/12/08	new issue	N	On target	T	

Strategic Priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

**Profile 9 ICT**  
**Council Priority = MEDIUM**

ID	Risks	Impact	Current Controls	Impact	Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
9a	Non-alignment of resources to match ICT requirements to deliver Council vision. Failure of ICT to act as an enabler to business requirements	Council vision not delivered. Incompatibility both of council-wide and of city-wide systems, meaning that effectiveness of council and partnership are limited.	CIP MTFS Partnership working evidenced through sound track record of community ICT projects. Inside the council, acceptance - in the main - of ERP thinking ('why not SAP?') as the default.	5	3	15	9a.1	Take into account the council's overall future needs, plus those of directorates and stakeholders (including external partners) in developing city-wide vision and strategy. New corporate ICT Strategy to be developed so that it can act as an enabler to business requirements and support Council improvement plans	Dave Smith (Deputy Chief Executive)	31/03/08 31/12/08	The alignment of the Councils vision and ICT requirements has been outlined in the Business Improvement Programme. (BIP)	T	Work on the BIP has helped to inform the business strategy. Target date changed from 31/03/08 to 31/12/08	D
							9a.2	Urgent development and implementation of corporate vision and strategy, and then translation of that into ICT requirements.	Dave Smith (Deputy Chief Executive)	31/03/08	The BIP has identified a number of enabling projects that are required for the successful delivery of the programme. The ICT projects include SAP Business Warehouse and Service Oriented Architecture Middleware	T	Projects have started and are informing the ICT element of the BIP. Transferred to action 9a.4	M
							9a.3	Directorates to produce ICT service road maps (development plans) and ensure they are compatible with the Corporate ICT Strategy	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/09			New action to be completed following the production of ICT strategy. Review target date in Sept 2009.	N
							9a.4	Urgent development and implementation of corporate vision and strategy, and then translation of that into ICT requirements. Identify ICT infrastructure and security required (to be maintained and improved) to support the improvement agenda and other ICT developments	Dave Smith (Deputy Chief Executive)	31/03/08 31/03/09		Previously 9a.2. Action to be completed following the production of ICT strategy. Review target date in Sept 2009.	D	
							9a.5	Identify additional ICT skills required to deliver the corporate ICT strategy and directorate road maps.	Dave Smith (Deputy Chief Executive)	31/03/09		New action to be completed following the production of ICT strategy. Review target date in Sept 2009.	N	
9c	Lack of security protocols for remote access	Council systems and data are compromised/potential litigation action.	27001 is implemented, so the building blocks exist. Pilot is underway for remote access.	4	3	12	9c.1	Appropriate protocols to be developed, communicated and enforced. Fund and procure an intrusion prevention system.	Dave Smith (Deputy Chief Executive)	31/10/07	Protocols developed. System designed. Penetration testing every 6 month. Intruder Prevention System installed (thanks to CRMG support). To be activated mid Oct 07. Target changed from June 07	D	Remote access issues resolved.	C
9d	Inability to restore all ICT systems	Failure to deliver critical council services.	In place for all new systems and replacement systems - but some areas of the council manage this better than others for existing systems.	5	3	15	9d.1	Further develop a BCM managed solution to reflect the business needs for the required infrastructure and critical council functions.	Dave Smith (Deputy Chief Executive)	31/12/07 31/10/08	EMT Paper submitted 24 July 07. All directorates have responded to System Services Manager (ICT). Tendering for new contract to cover needs to take place in Nov 2007	T	Existing DR contract initially extended by 6 months. Tendering exercise due to commence for new contract. Target date changed from 31/12/07 to 31/10/08	D
							9d.2	Conduct gap analysis to measure level of compliance with BCM elements of ISO 27001.	Dave Smith (Deputy Chief Executive)	30/12/08		New action	N	
							9d.3	Deliver an action plan to address gaps	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
9e	Remaining infrastructure weaknesses	Loss of service to business.	Constantly engineering out remaining single points of failure.	4	2	8	9e.1	Address outstanding security recommendations and adoption of best practice Information Security Management techniques.	Dave Smith (Deputy Chief Executive)	31/03/08	Constant progress being made. ISO27001 work continues.	T	Completed	C
9f	Software and Hardware Asset / Configuration Management	Failure to meet legislative requirements. Inability to provide efficient service delivery.	Final manual audit initiated ahead of software management implementations.	4	2	8	9f.1	Audit and control actioned through automated software integration.	Dave Smith (Deputy Chief Executive)	31/10/07	Audit conducted and desktop license situation stabilised with Microsoft. EMT paper 24 July 07. Situation to be resolved with Microsoft. Desktop Management Tool acquired and currently being installed. Following completion of above IT Service Management Transformation Project solution required for fully integrated management. (MTFP)	T	Completed	C
9g	Failure to obtain maximum benefits from the Digital Challenge Programme	Failure to achieve all of the project benefits Negative impact on reputation	Programme steering group established at partnership level	3	2	6	9g.1	Develop PID to include Communication and programme Quality plan	Dave Smith (Deputy Chief Executive)	31/03/08	New issue	N	Completed	C
							9g.2	Deliver Digital Challenge Programme Plan	Dave Smith (Deputy Chief Executive)	On going		New action	N	
							9g.3	Review communication plan to raise awareness and importance/ success of digital challenge	Dave Smith (Deputy Chief Executive)	31/12/08		New action	N	
9h	Failure to prevent uncontrolled development of IT systems	The impact of Service Areas conducting their own ICT work and control of use - perhaps systems development / implementation or data downloads - contrary to Corporate ICT authorised policy / change approval process.	Current ICT strategy and information governance policy. This is a new risk raised with the ICT Risk Management Working Group.	5	4	20	9h.1	Develop and agree Corporate protocols for IT development.	Dave Smith (Deputy Chief Executive)	31/12/08			New action	N
							9h.2	Consider use of audit tools to ascertain and control usage including use of all removable / portable media types.	Dave Smith (Deputy Chief Executive)	31/12/08			New action	N
							9h.3	Investigate systems to prevent unauthorised downloading of data.	Dave Smith (Deputy Chief Executive)	31/12/08			New action	N

Strategic Priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

**Profile 10 Community Cohesion Inclusive Communities**

**Council Priority = HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status		
10a-a	Failure to <del>deliver Sunderland Partnership strategic objective</del> to create an inclusive community	Not all Sunderland communities are able to take advantage of the many positive opportunities that are available in the city. Potential increase in tension between communities	Community cohesion working group set up under the umbrella of the local strategic partnership (LSP); its membership comprises representatives from Council, University, SHG and job centres. Inclusive Communities Thematic Group also set up under the umbrella of the partnership and comprises reps from partners and also from Independent Advisory Groups (established to address issues re gender, sexuality, age, disability, ethnicity and faith). Community Cohesion Officers Groups established within the council with reps from all directorates.	5	4	20	10a-a.1	Following the independent review, develop community cohesion strategy and action plan.	Dave Smith (Deputy Chief Executive)	31/03/08	Currently under development by Diversity and Inclusion team assisted by Consultants. Target date changed from Sept 07	D	Action transferred to 10a-c.1 Strategy awaiting sign off. Target date changed from 31/03/08 to 31/12/08.	M
							10a-a.2	Ensure appropriate resources are available to deliver action plan.	Dave Smith (Deputy Chief Executive)	30/04/08	Resources to be provided by Directorates. Target date changed from Sept 07	D	Action on target	T
10a-b	The Council fails to deliver the objectives of the Corporate Community Development Plan	We fail to secure a robust and sustainable funding relationship across the council, partners and Voluntary & Community Sector. Communities fail to become 'fit-for-purpose' failing to effectively deliver their objectives and fully meet the objectives and outcomes of the Sunderland Strategy	Corporate Working Group (VCS Support)	3	3	9	10a-b.1	Develop and agree a Corporate Community Development Plan that includes SMART actions for delivery	Paul Dobson (Director of C&CS)	<del>01/03/08</del> 31/07/08	In development.	N	Draft Corporate Community Development Plan now with the Corporate Working Group. Target date changed from 01/03/08 to 31/07/08 .	D
10a-c	Failure to achieve Community Cohesion	Breakdown of trust in the council and other agencies, lack of trust within neighbourhoods and reduced involvement in local life, increase in issues connected with social isolation, poverty and violence.		5	4	20	10a-c.1	Develop Community Cohesion Strategy to include actions and targets to address the following areas	Dave Smith (Deputy Chief Executive)	<del>31/03/08</del> 31/12/08			Action previously 10a-a.1. Target date changed from 31/03/08 to 31/12/08	D
							10a-c.2	Citizens sense of belonging	Dave Smith (Deputy Chief Executive)	31/12/08		New action	N	
							10a-c.3	Tackling Deprivation	Dave Smith (Deputy Chief Executive)	31/12/08		New action	N	
							10a-c.4	Addressing intergenerational tensions	Dave Smith (Deputy Chief Executive)	31/12/08		New action	N	
							10a-c.5	Valuing diversity	Dave Smith (Deputy Chief Executive)	31/12/08		New action	N	
10a-d	Failure to effectively consult and engage with the community	Failure to identify the needs of the various elements of the community which leads to further isolation. Not all of Sunderland's residents are able to contribute fully to the life of the City	Corporate Consultation Strategy, Hard to Reach Framework, Corporate Consultation Group	5	2	10	10a-d.1	Identify opportunities to appropriately involve people in decision making	Dave Smith (Deputy Chief Executive)	31/12/08			New action	N
10b-a	Failing to achieve equality standards.	Breach of discrimination legislation, reputational impact, not all of Sunderland's residents are able to contribute fully to the life of the City	Corporate Equality Steering Group, Corporate Equality scheme, Directorate Equality Plans, Council's Race, Disability and Gender Equality Schemes. Employee Consultative groups , formalised reporting routes to Cabinet via Regeneration and Community Review Committee.	4	2	8	10b-a.2	Ensure overall delivery plan in place to achieve all levels of Equality Standard. Continue to raise awareness of requirements of equality standard.	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Reveley / Keith Beardmore / Bob Rayner (All Chief Officers)	<del>31/12/07</del> 31/12/08	Level 4 plans being developed	T	Risk transferred to action 10b-a.3 Target changed from 31/12/07 to 31/12/08	M
							10b-a.3	Develop a corporate delivery plan to achieve level 4 of the Equality Standard.  Review directorate progress against the corporate delivery plan to identify and address areas that do not meet level 4 requirements	Dave Smith (Deputy Chief Executive)	<del>31/12/07</del> 31/12/08	Level 4 plans being developed	T	Previously action 10b-a.2 Level 4 plans continue to be developed, pending external verification of level 3. Target changed from 31/12/07 to 31/12/08	D
							10b-a.4	Provide evidence to satisfy external verification of level 3	Dave Smith (Deputy Chief Executive)	01/07/08		New action	N	

Strategic Priorities/ CIP Links: SP1, SP2, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

Profile 12 Human Resources

Council Priority = HIGH

ID	Risks	Impact	Current Controls	Impact	Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
12a	High volume of equal pay claims that can not be successfully defended	Very significant financial implications, disruption to employee relations, damage to reputation as employer.	Single Status Project Plan. Job evaluation carried out for phase 1	5	3	15	12a.1	Close management by CMT with internal and external specialist legal advice; financial provision in Medium Term Financial Strategy. A number of test cases are to be considered by a Tribunal in mid 2008. Position to be reviewed following tribunal	Dave Smith (Deputy Chief Executive) / Lead / Keith Beardmore (City Treasurer) / Bob Rayner (City Solicitor)	31/03/08-31/3/09	Position is continuously monitored. A number of test cases are to be considered by a Tribunal in mid 2008. Position to be reviewed following tribunal decision	T	Tribunal decision awaited July 2008. Target date changed from 31/03/08 to 31/03/09	D
							12a.2	Monitor the implementation of the agreed changes to roles and responsibilities of job enrichment	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
12b	Failure to resolve or prevent equal pay situations (including Phase 2) that bring about a potential liability	Continuing liability to equal pay claims	Single Status Project Plan. Job evaluation carried out for phase 1	4	3	12	12b.2	Annual Equal pay audit and risk assessment to be carried out in August 2008 but may be reconsidered if Phase 2 is implemented	Dave Smith (Deputy Chief Executive)	31/09/08	New action	N	On target for annual survey in August	T
							12b.3	New options appraisal for phase 2 to be developed	Dave Smith (Deputy Chief Executive)	31/03/08	New action	N	Completed and to be reported to EMT	C
							12b.4	Following approval by EMT develop action plan for delivery of Phase 2	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
							12c.1	Use biennial employee survey to identify where poor levels of engagement occur. Develop local action plans within corporate HR strategy.	Dave Smith (Deputy Chief Executive) / Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/12/07	Survey to be completed in Dec 07	T	Survey completed	C
12c	Failure to maintain staff morale and engagement during major change	Reduced productivity, performance, staff retention, satisfaction levels	Information on website	3	3	9	12c.2	Directorate, Employee Wellbeing action plans to be reviewed following HSE Audit	Dave Smith (Deputy Chief Executive) / Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/09		New action	N	
							12d.1	Review functional structure to ensure compliance with all employment related laws by clear policies and procedures and skills training.	Dave Smith (Deputy Chief Executive) / Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/08-31/12/08	HR Payroll phase 2 project to consider how the monitoring/ auditing of HR compliance can be embedded	T	HR Payroll phase 2 on hold and action revised to review functional structure. Target date changed from 31/03/08 to 31/12/08	D
12d	Breach of Employment related laws e.g. Health & Safety, Discrimination	Legal Liability, financial implications, damage to reputation as an employer	Appropriate policies in place	4	2	8								
12g	Lack of quality HR performance data to inform management decisions	Poor decision making	Use of HR payroll system as currently developed	4	3	12	12g.1	Development of HR payroll phase 2 to provide further accurate management information	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
12h	Lack of skills and capacity to deliver council customer services	Failure to deliver high level of customer service.	Recruitment and selection process and policy.	4	3	12	12h.1	Produce a workforce development plan	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
							12h.2	Review recruitment and retention policy with a view to attract and retain skills	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
12i	Lack of succession planning across the council	Loss of corporate memory, continuity.	Written procedures and protocols	4	3	12	12i.1	Develop a corporate succession planning strategy	Dave Smith (Deputy Chief Executive)	31/03/09		New action	N	
12j	Failure to adequately manage stress	Increased sickness absence, reduced staff morale, reduced productivity, employers liability claims	Mental health & well-being policy Stress survey and analysis	4	4	16	12j.1	Following visit of HSE, any recommended actions to be scoped into project	Dave Smith (Deputy Chief Executive)	31/12/08	New action	N	Previously action 13e.2. On target. Corporate strategy for Managing Work Related Stress adopted. HSE audit delayed	T
							12j.2	Identify any correlation between stress related absence and management practices and cultural issues as identified in employee survey.	Dave Smith (Deputy Chief Executive)	31/12/08		New action	N	
12k	Significant bullying and harassment issues	Increased sickness absence, reduced staff morale, reduced productivity, negative impact on reputation	Bullying and Harassment policy Stress survey and analysis	3	2	6	12k.1	Completion of new staff survey to identify issues and root causes	Dave Smith (Deputy Chief Executive)	31/03/08	On target. Upon completion, analysis of survey to be undertaken to inform policy reviews	T	On target. Survey completed	C
							12k.2	Completion of new staff survey to identify issues and root causes Analysis of staff survey to be undertaken to inform mitigating actions and policy reviews	Dave Smith (Deputy Chief Executive)	31/03/08-31/12/08		Previously action 13f.2. Target date changed from 31/03/08 to 31/12/08	D	

Strategic Priorities/ CIP Links: SP1, CI01, CI02, CI03

**Profile 13 Attendance Management**

**Council Priority = HIGH**

ID	Risks	Impact	Current Controls	Impact	Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
13a	Failure to achieve sickness absence targets reduce sickness absence	Reduced productivity, increased costs, increased pressure on remaining staff poor CPA rating, reputational risk. Major problem for HHA and CS	Targets to reduce the rate of unplanned absence. Absence Management Policy CARE LINE. Occupational Health Unit Stress Management Standard Employee Survey Business Continuity Plans Monitoring reports produced for directorates Monthly reports to EMT on absence levels and related action plans. Recruitment of a second doctor	4	4	16	13a.1	Monthly reports to EMT on absence levels and related action plans.	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/08	EMT receive monthly reports so that this issue continues to be given a high profile and the improvement actions are monitored. Action Plan on BVPI 12 developed to respond to changing situations	T	EMT continue to receive monthly reports. Long term absence cases are individually reviewed to ensure that policies/ procedures have been complied with	C
							13a.2	Further actions / programme to be developed to raise awareness and manage this risk.	Dave Smith (Deputy Chief Executive)	31/03/08	Northern Regional Benchmarking Group continue to research reasons for sickness absence in Adult Services. EMT agreed future action areas. Further report to go to Personnel Committee early in 2008. Current focus of communication work is around the forthcoming HSE audit and the management of stress. EMT have agreed that additional Occupational Health physician resource should be provided to support the provision of timely clinical advice in the management of cases. Further development of sickness reporting and management information. Directorate steering groups to focus on wider sickness absence issues as well as stress. Case review panels introduced to provide advice and support in the management of complex sickness absence cases. Target date change from July '07.	T	Specific actions have been identified in respect of this risk in profile numbers 12 and 13. Action complete	C
							13a.3	Long term absence cases to be individually reviewed to ensure that policies/ procedures have been complied with.	Dave Smith (Deputy Chief Executive)	Annual		New action	N	
13b	The data quality regarding sickness absence figures is not robust	Qualified attendance management figures Impact upon CPA	Monthly sickness report to be verified by managers	4	4	16	13b.2	Test system to establish quality of data provided	Dave Smith (Deputy Chief Executive)	<del>31/03/08</del> 31/12/08	New action	N	Sampling of BVPIs data to be undertaken in May 08. Target date changed from 31/03/08 to 31/12/08	D
13c	HR policies/ procedures do not support effective attendance management	Inconsistent approach to target setting and measurement, no incentive to early return to work	HR Policies	4	3	12	13c.1	Review current policies to identify inconsistencies.	Dave Smith (Deputy Chief Executive)	31/12/07	Work started and to be completed by Dec 07 85% completed to date. Target date changed from Sep 07	N	Policies reviewed in line with best practice from other Councils and found to be fit for purpose. Minor refinements carried out. Report to EMT to agree minor changes to policies in line with best practice	C
							13c.2	Consider making attendance management mandatory.	Dave Smith (Deputy Chief Executive)	30/19/07	Attendance management training being assessed for e-learning delivery channel	T	Action complete. Attendance management training to be delivered via e-learning package.	C
13d	Failure to implement HR policies to support attendance management	Inconsistent and inappropriate approach to attendance management	Appraisal process	4	3	12	13d.2	Provide appropriate skills and training to managers by roll out of e-learning attendance management training	Dave Smith (Deputy Chief Executive)	30/09/08			New action	N
13e	Failure to adequately manage Stress	Increased sickness absence, reduced staff morale, reduced productivity, employers liability claims	Mental health & well-being policy	4	4	16	13e.2	Following visit of HSE in February, any recommended actions to be scoped into project	Dave Smith (Deputy Chief Executive)	31/12/08	New action	N	Risk transferred to 12j.1. On target	M
13f	Significant bullying and harassment issues	Increased sickness absence, reduced staff morale, reduced productivity	Bullying and Harassment policy	3	2	6	13f.2	Completion of new staff survey to identify issues and root causes	Dave Smith (Deputy Chief Executive)	<del>31/03/08</del> 31/12/08	On target. Upon completion, analysis of survey to be undertaken to inform policy reviews	T	Risk transferred to 12k.2. Missed target date - changed from 31/03/08 to 31/12/08	M

Strategic Priorities/ CIP Links: SP1, SP2, SP3, SP5, CI01, CI02, CI03, CI04

Profile 14 Housing Strategy

Council Priority = MEDIUM

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status		
14a	Failure to achieve a balanced local housing market	<ul style="list-style-type: none"> <li>- Lack of good quality housing to meet people's aspirations and attract people into the City.</li> <li>- Potential for people to consider their housing options outside of the City, leading to population loss.</li> <li>- Lack of affordable housing options for first time buyers and those in housing need could put pressure on housing registers and increase homelessness</li> <li>- Lack of appropriate housing to meet the needs of those who require support or who have special needs.</li> <li>- Failure to attract and retain balanced population and thus affecting ability to deliver strategic priorities e.g. economic prosperity</li> </ul>	<ul style="list-style-type: none"> <li>- Interim Strategy on Housing Land and Housing Strategy objectives.</li> <li>- Regional Spatial Strategy targets and objectives of the Regional Housing Strategy.</li> <li>- SHG Renewal Programme and the levels of Housing Corporation funding available.</li> </ul>	5	3	15	14a.1	Carry out a Local Housing Market Assessment which will provide information on the housing market in Sunderland.	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/03/08	As there is now a better understanding of the Housing market, risk description amended to "Failure to achieve a balanced local housing market". The local Housing market Assessment is currently being carried out, date of completion to be confirmed. Target date was only an indicative date, now changed from Sept	D	HHAS update: Assessment has been completed and the final report is on target for end March 08. On Target Action transferred to Profile 15, action 15m.1	M
							14a.2	Following completion of the assessment, ensure that the information from the HMA is used to inform the core strategy for the LDF.	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/12/08	New action	N	HHAS update: Awaiting the final report to progress this action. On Target Action transferred to Profile 15, action 15m.2	M
							14a.3	Housing strategy to ensure existing and new housing developments address the needs of Sunderland's large and diverse population	Neil Revely (Director of HHAS)	31/12/07	Consultation is currently taking place on the new Sunderland Strategy. Need to ensure Housing is fully represented within this strategy as it develops. Following the launch of the Housing Strategy in Dec 07, Action Plan to be implemented.	T	HHAS update: Strategy was formally launched Dec 07. Action closed and new actions identified that progress this.	C
							14a.4	Work with Gentoo (and other Registered Social Landlords) to ensure that appropriate levels of social housing are built as part of their renewal programme and ensure that the bids to the Housing Corporation reflect the City's housing needs.	Neil Revely (Director of HHAS)	31/03/08	Work is ongoing with Gentoo regarding affordable housing. Bidding ongoing at present for the next 3 years. Need to know outcomes of bid to know if requirements will be met. Target date changed from Sept 07	D	HHAS update: A meeting has been held with Gentoo and other RSLs (on 27/02). This action to be closed as an action plan is being developed and progress (on specific actions with timescales in the plan) will be monitored	C
							14a.5	Ensure that all relevant plans and strategies reflect the need for supported housing (Vulnerable People Strategy)	Neil Revely (Director of HHAS)	31/03/08	Developing a Vulnerable Persons Housing Strategy into which all other strategies will feed and will also act as the Council's Supporting People Strategy. Housing needs are also considered and included within projects as required. In particular at present - the LD 3-5 year development plan, the LD resettlement project. Target date changed from Sept 07.	D	HHAS update: Work on the overall Vulnerable Persons Strategy continues but will not achieve the original end March 08 completion date. Individual component parts are completed but these now need to be collated to ensure the overall strategy aligns with the vision. Now expected to be completed by Sept 08. target date changed from 31/03/08 to 30/09/08 Action transferred to Profile 15, action 15o.5	M
							14a.6	Assess impact of "Homes for the Future: more affordable, more sustainable" Green Paper and identify opportunities and concerns	Neil Revely (Director of HHAS)	31/03/08	New action raised at CRMG meeting. Green Paper is out for consultation at present.	N	HHAS update: only impact is around the development of a Sunderland Local Housing Company. Action closed as this is covered in action 15h	C
							14a.7	Identify risks and opportunities in the development of a Sunderland Local Housing Company	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/03/08 30/09/08	New action raised following CRMG meeting. One of the major topics outlined in the Green Paper is Local Housing Companies and Sunderland has been chosen as 1 of 14 pilot areas to develop a company to build new housing.	N	D&R update: Need to understand the relationship between this and the LABV. This will be determined through the LABV evaluation process. HHAS update: Consultant appointed for 6 months to identify sites (currently in Council ownership) that would be suitable for new build housing under the LHC agenda. Report expected Aug 08. Target date changed from 31/03/08 to 30/09/08 Action transferred to Profile 15, action 15m.3	M

Strategic Priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, SP7, SP8, CI01, CI03, CI04

Profile 15 Health, Housing and Adult Services

Council Priority = HIGH

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status		
15a	Failure to achieve consistency of service delivery during the transformation of the Directorate	Service users put at unnecessary risk by reduction in service delivery / PIs not achieved / Loss of CPA status / bad press	Modernisation Agenda. Risk Management plan in place for the Modernisation Programme. Ongoing review of Adult Services and the Partnership Risk Registers.		0	15a.4 Ensure the diverse needs of all customer groups are addressed in the future development and planning of the service via customer involvement	Neil Revely (Director of HHAS)	31/03/08	A postal residents survey is being carried out to identify the type of care and outcomes they would like now & in the future. Evaluation of this is in progress and this will allow the Council to shape how service needs and expectations can be met. Service targets continue to be monitored and issues addressed. The development of a 15 year commissioning plan has begun that will detail the future direction of the Directorate.	N	HHAS update: This risk originally referred to the split between Children and Adult Services, which was implemented. It then migrated and progressed into a risk relating to the transformation of Services for Older People, whose programme of work continues to be implemented. Risk closed as this will now be included within more specific actions from implementation of the Vulnerable People strategy.	C		
15c	Failure to secure sufficient funding for costs of transformation	Anticipated efficiencies not achieved or are delayed or reduced / potential reduction in other services to cover shortfall / service is not transformed as per requirements	Medium Term Financial Strategy Modernisation programme		0	15c.1 Identify the transformation costs to be spread over 5 years	Neil Revely (Director of HHAS)	31/03/08	This continues to be addressed via the Directorate Modernisation programme agenda. Costs are refreshed when Budget setting takes place annually and this is then sent to Cabinet for approval. Target date changed from Sept	D	HHAS update: This action specifically referred to Older Persons and those identified efficiencies were delivered early. Action closed.	C		
						15c.2 Benchmark of services before and after transformation to prove that efficiencies been made	Neil Revely (Director of HHAS)	31/03/10	This continues to be addressed via the Modernisation programme agenda	T	HHAS update: This action specifically referred to Older Persons and those identified efficiencies were delivered early. Action closed.	C		
15d	Failure to manage the move to commissioning of services by external providers from delivery by the Council	increased costs to council to continue to provide / loss of reputation / opposition as historically seen as responsibility of council / potential reduction in service to users if not standards not agreed / monitored / redundancy costs if staff do not move with the service	Modernisation programme		0	15d.1 Continue to engage with Partners e.g. Home Support	Neil Revely (Director of HHAS)	31/03/08	Work is ongoing to develop the market to allow outsourcing.	T	Work with Partners continues. The use and promotion of commissioning of services and work with partners are key to the Directorate vision. A 15 year commissioning plan, underpinned by 3 year implementation plans, will be developed to deliver the 5 major themes - Choice & Control / Accommodation / Independent Living / Health & Well Being - Preventing Dependence / Effective & Intelligent use of Resources. Action closed as more specific actions will be identified when the	C		
						15d.2 Develop a new plan / model for Extra Care to manage expectations (housing with care as an extra) preventing the need for residential care	Neil Revely (Director of HHAS)	31/03/08	Now that the new Directorate is operational, this work has been reallocated from Older People to the Housing service area. A project has been established to implement Extra Care starting with Leonard House Target date changed from April 07	D	Action closed as plan now in place. New actions identified to implement the Extra Care schemes.	C		
15e	Failure to address issues arising from the creation of the new Directorate	Lack of integration / staff continue to work as present / service to users is not improved	Modernisation programme	5	3	15e.1 Need to plan integration with other council services delivering shared services e.g. wellness	Neil Revely (Director of HHAS)	31/12/08	New Management Framework was developed to allow integration for some basic functions e.g. budget monitoring but main programme of work being taking forward in the Directorate as a project "Creating One Organisation" assisted by a secondment from Corporate Personnel. Target Date changed from Dec 07.	D	HHAS update: Work continues to integrate with other council services. New Directorate structure shared with staff in Jan 08, to be implemented by April 08. New actions will be identified from the 3 year implementation plan being developed that underpins the new Directorate structure (approved by Cabinet 28/02/2008) that becomes effective from 01/04/2008 On target Action transferred to action 15j.1	M		
15f	Failure to manage the impact of changes (within the NHS) in existing /new Partnerships	Partnerships do not deliver objectives / changes required to Partnership Agreements / reduced service to users / PIs not met / increased costs to council to deliver statutory functions / reputational damage	Informal liaison within Partnerships	5	4	20 15f.2 All Partnerships to agree main objectives / outcomes for 2008/09	Neil Revely (Director of HHAS)	31/05/08	Directorate is working closely with the Director of Public Health for PCT to agree objectives for 08/09. Target Date changed from May 07.	T	HHAS update: There are still existing Partnerships where there is no formally signed Agreement for future years. Work continues to identify when this might impact and ensure council has identified worst case scenarios i.e. non participation of NHS and has plans in place for this, especially where there are joint funding arrangements in place. On Target Action transferred to action 15j.2	M		
<b>15 Failure to deliver the key outcomes for the Directorate</b>														
15g	Failure to achieve Aim 1 of the 15 year Adult Social Care Strategy : Choice & Control	Failure to deliver; care management & assessment / care brokerage / self-directed support / transitions / risk & choice and safeguarding from harm, abuse and stigma)	3 year delivery plans with annual review / refresh	5	2	10	15g.1 Respond to Consultation document "Valuing People Now"	Neil Revely (Director of HHAS)	31/03/08			New action	N	
							15g2 BIP project Phase 1 delivered (Improving the customer journey for major/minor adaptations)	Neil Revely (Director of HHAS)	01/07/08			New action	N	
15h	Failure to achieve Aim 2 of the 15 year Adult Social Care Strategy: Independent Living	Failure to provide Intensive support for independent living at home / developing homes for life / reducing risk of homelessness)	3 year delivery plans with annual review / refresh	5	2	10	15h1 Implementation of Resettlement Project (supporting OP modernisation agenda)	Neil Revely (Director of HHAS)	31/12/09				New action	N
							15h2 Develop action plan and agreements between RSLs and Council	Neil Revely (Director of HHAS)	31/12/08			New action	N	
							15h3 Homes for Life project Site 1 (Leonard House)	Neil Revely (Director of HHAS)	31/05/09			New action	N	
							15h4 Homes for Life project Site 2 (Woodlands)	Neil Revely (Director of HHAS)	30/11/09			New action	N	
							15h5 Homes for Life project Site 3 (Moor House)	Neil Revely (Director of HHAS)	31/05/10			New action	N	
15i	Failure to achieve Aim 3 of the 15 year Adult Social Care Strategy: Equal access for all	Failure to improve access to employment, education and training for vulnerable people / help vulnerable people's ability to make a positive contribution to the community / improve access to and support within, other universal services)	3 year delivery plans with annual review / refresh	5	2	10 15i1 Develop implementation plan	Neil Revely (Director of HHAS)	30/09/08				New action	N	

15j	Failure to achieve Aim 4 of the 15 year Adult Social Care Strategy: Improving health & well-being	Failure to develop low level prevention strategies or joint work with health - complex conditions)	3 year delivery plans with annual review / refresh	5	2	10	15j1	Plan integration with other council services delivering shared services e.g. wellness	Neil Revely (Director of HHAS)	31/12/08	New Management Framework was developed to allow integration for some basic functions e.g. budget monitoring but main programme of work being taking forward in the Directorate as a project "Creating One Organisation" assisted by a secondment from Corporate Personnel. Target Date changed from Dec 07.	D	HHAS update: Work continues to integrate with other council services. New Directorate structure shared with staff in Jan 08, to be implemented by April 08. New actions will be identified from the 3 year implementation plan being developed that underpins the new Directorate structure (approved by Cabinet 28/02/2008) that becomes effective from 01/04/2008 Previously action 15e.1	T	
							15j2	All Partnerships to agree main objectives / outcomes for 2008/09	Neil Revely (Director of HHAS)	31/05/08	Directorate is working closely with the Director of Public Health for PCT to agree objectives for 08/09. Target Date changed from May 07.	T	HHAS update: There are still existing Partnerships where there is no formally signed Agreement for future years. Work continues to identify when this might impact and ensure council has identified worst case scenarios i.e. non participation of NHS and has plans in place for this, especially where there are joint funding arrangements in place. Previously action 15f.2	T	
							15j3	Completion of 50+ strategy - Phase 2	Neil Revely (Director of HHAS)	30/09/08			N	New action	N
							15j4	50+ Strategy Phase 2 adopted by Partners	Neil Revely (Director of HHAS)	31/12/08				New action	N
15k	Failure to achieve Aim 5 of the 15 year Adult Social Care Strategy:	Failure to develop robust needs assessments / care pathways & specifications / better procurement solutions /	3 year delivery plans with annual review / refresh	5	2	10	15k1	Appointment of deputy Health Director for new Directorate to ensure vision is achieved	Neil Revely (Director of HHAS)	01/01/09			New action	N	
							15k2	Develop implementation plan	Neil Revely (Director of HHAS)	31/03/09				New action	N
15l	Failure to achieve Aim 6 of the 15 year Adult Social Care Strategy: Managing the resources, including with Partners	Failure to manage change / workforce development / finance / commissioning Failure to develop performance & governance arrangements, including outcomes for individuals Failure to develop ICT & info management solutions / Failure to develop image & communications strategy / Failure to maximise partnership working including area -based & diversity based solutions)	3 year delivery plans with annual review / refresh	5	2	10	15l1	Implement new Directorate structure to General Manager level	Neil Revely (Director of HHAS)	30/06/08				New action	N
							15l2	Implement new Directorate structure to next (below GM) level	Neil Revely (Director of HHAS)	31/12/08				New action	N
							15l3	Training Needs Analysis / skills audit completed	Neil Revely (Director of HHAS)	31/12/08				New action	N
							15l4	Develop a Workforce Development plan (that includes Private Sector Partners)	Neil Revely (Director of HHAS)	31/03/09				New action	N
							15l5	Develop action plan for all areas of Directorate - following Away Day 20/03/2008	Neil Revely (Director of HHAS)	30/04/08				New action	N
							15l6	Deliver staffing objectives for Older People Modernisation Agenda (correct number of staff in place with appropriate qualifications - NVQs)	Neil Revely (Director of HHAS)	30/04/09				New action	N
15m	Failure to achieve Aspiration 1 of the 5 year Housing Strategy (2006 -2011): Choice of type, location and price to meet 21st Century aspirations Reverse trends of outward migration	Failure to improve the choice of type, location and price to meet 21st Century aspirations and demands which will reverse trends of outward migration	Delivery plan with annual review / refresh monitoring through Regeneration and Review committee / Strategic Housing Partnership	5	2	10	15m1	Carry out a Local Housing Market Assessment which will provide information on the housing market in Sunderland.	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/03/08	As there is now a better understanding of the Housing market, risk description amended to "Failure to achieve a balanced local housing market". The local Housing market Assessment is currently being carried out, date of completion to be confirmed. Target date was only an indicative date, now changed from Sept	D	HHAS update: Assessment has been completed and the final report is due March 08 Previously action 14a.1	T	
							15m2	Following completion of the assessment, ensure that the information from the HMA is used to inform the core strategy for the LDF.	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/12/08	new action	N	HHAS update: Awaiting the final report to progress this action. Previously action 14a.2	T	
							15m3	Identify risks and opportunities in the development of a Sunderland Local Housing Company	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/03/2008-30/09/08	New action raised following CRMG meeting. One of the major topics outlined in the Green Paper is Local Housing Companies and Sunderland has been chosen as 1 of 14 pilot areas to develop a company to build new housing.	N	D&R update: Need to understand the relationship between this and the LABV. This will be determined through the LABV evaluation process. HHAS update: Consultant appointed for 6 months to identify sites (currently in Council ownership) that would be suitable for new build housing under the LHC agenda. Report expected Aug 08.	D	
15n	Failure to achieve Aspiration 2 of the 5 year Housing Strategy (2006 -2011):	Failure to improve quality and standard of housing and ensure that sustainable communities are created	Delivery plan with annual review / refresh monitoring through Regeneration and Review committee / Strategic Housing Partnership	5	3	15	15n1	Implement masterplans for Eppleton / Castletown to improve housing conditions in those areas	Neil Revely (Director of HHAS)	31/01/10			New action	N	
							15n2	Implement Financial Assistance Policy	Neil Revely (Director of HHAS)	31/03/11				New action	N
15o	Failure to achieve Aspiration 3 of the 5 year Housing Strategy (2006 -2011): Provision of accommodation and support for Sunderland's diverse population	Failure to provide accommodation and support which meets the needs of Sunderland's large and diverse population	Delivery plan with annual review / refresh monitoring through Regeneration and Review committee / Strategic Housing Partnership	5	2	10	15o1	Deliver of review plan for Supporting People	Neil Revely (Director of HHAS)	30/09/08				New action	N
							15o2	New contracts with Supporting People to be implemented	Neil Revely (Director of HHAS)	31/03/09				New action	N
							15o3	Identify and implement actions to make Supporting People fit for purpose for LAA	Neil Revely (Director of HHAS)	30/04/09				New action	N
							15o4	Implement Travellers Strategy	Neil Revely (Director of HHAS)	31/03/08				New action	N
							15o5	Ensure that all relevant plans and strategies reflect the need for supported housing (Vulnerable People Strategy)	Neil Revely (Director of HHAS)	31/03/2008-30/09/08	Developing a Vulnerable Persons Housing Strategy into which all other strategies will feed and will also act as the Council's Supporting People Strategy. Housing needs are also considered and included within projects as required. In particular at present - the LD 3-5 year development plan, the LD resettlement project. Target date changed from Sept 07.	D	HHAS update: Work on the overall Vulnerable Persons Strategy continues but will not achieve the original end March 08 completion date. Individual component parts are completed but these now need to be collated to ensure the overall strategy aligns with the vision. Now expected to be completed by Sept 08. Previously action 14a.5	D	
Strategic Priorities/ CIP Links: SP2, SP3, SP4, SP6, SP8, CI01, CI02, CI03, CI04															

**Profile 17 Building Schools for the Future (BSF)**

**Council Priority = HIGH**

ID	Risks	Impact	Current Controls	Impact	Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status
17a	Failure to deliver to timetable	Schools opening dates are delayed / increase in costs & resources / school visions are not achieved/ reputational damage/ negative impact upon attainment	Project Plans Work stream plans Project risk register Workstream risk registers Weekly Delivery Team meetings Project governance				17a.6 Ensure all documents and procedures are in place for approval of the FBC	Dr Helen Paterson (Director of Children's Services)	31/12/08	A draft of the FBC is to be sent to PFS and DCSF by the end of January 2008. ICT procurement deadline integral to above (currently on target)	N	All documentation required for the FBC stages (February to March) has been completed	C
17f	Loss of business to a third party	Loss of income across directorates Overhanging costs Loss of service provision within schools Schools lose advice services attached to SLA's Job insecurity and low staff morale Reputational damage/ non BSF schools opt out of Council SLA's	Corporate BSF group to raise and manage issues and risks in respect of council services				17f.2 Corporate BSF Group to analyse the impact of loss of service for each Directorate and Service area and to action all risks within the corporate BSF risk register.	Dr Helen Paterson (Director of Children's Services)	31/12/07	The Council risk register for BSF is in Draft. The Corporate BSF group will discuss all risks and decide on the most appropriate actions for those risks.	N	Action 17f.2 Complete December 07. Risk merged with 17h	C
17h	Current Council FM providers are not fully engaged in the procurement process for FM services	Loss of income across directorates resulting in overhanging costs. Uncertainty of the future provision for FM. Loss of service provision within schools. Schools lose advice services attached to SLA's. Job insecurity and low staff morale. Reputational damage/ non BSF schools opt out of Council SLA's.	BSF Facilities Management Workstream with dedicated Project Manager for FM. Corporate Group established under chairmanship of Senior Assistant City Treasurer. High level meeting set for early December to agree council -wide approach on this issue.	4	2	8	17h.1 Monitor the procurement process including the options appraisal to enable current Council FM providers to effectively respond to the tendering process	Dr Helen Paterson (Director of Children's Services)	31/03/08	Issues may also arise out of the earlier opening of Pennywell Quarry Academy resulting in current Council FM contract pricing being available to Gentoo	N	Action on target. In consultation with the Corporate BSF group, a report has gone to EMT requesting a collective procurement for hard FM services. Soft FM services will continue with the existing procurement process.	T
17i	Failure for the Transformation Agenda to realise its potential and deliver raised educational attainment	Reduced educational attainment. Negative impact on regeneration for the city Loss of key skills	Transformation Plan in place	5	2	10	17i.1 Link SEF and SIP to school visions 17i.2 Regular reviews of school visions	Dr Helen Paterson (Director of Children's Services) Dr Helen Paterson (Director of Children's Services)	Annual Annual			New action New action	N N
17j	Design and build contractor does not deliver	Financial impact on the Council. Programme delay. Schools do not open on time. Political /reputational risk Legal challenge from Lead Sponsors Delays to ICT contractor resulting in compensation costs which are to be met by the Council	Project Team Agreed Programme Plan Contractual terms and conditions PFS procedures and frameworks	5	2	10	17j.1 The specification i.e. Contractors Proposals 'CP's' which are submitted through Design services to be checked by the Quality Surveyors and agreed with the Client Project Managers.	Dr Helen Paterson (Director of Children's Services)	30/09/09			New action	N
17k	ICT Managed Service provider does not deliver	Financial impact on the Council. Programme delay. Schools do not open on time. Legal challenge from Lead Sponsors Delays to D&B contractor resulting in compensation costs which are to be met by the Council	Project Team Agreed Programme Plan Contractual terms and conditions PFS procedures and frameworks	4	2	8	17k.1 The specification i.e. Contractors Proposals 'CP's' to be managed through the ICT lead and Corporate ICT throughout the Contract.	Dr Helen Paterson (Director of Children's Services)	30/09/09			New action	N
17l	Failure to take into account all relevant factors in developing wave 2 of the BSF programme	The overall impact is that the wrong decision is made and as a consequence both waves do not meet the transformational visions by the agreed timelines.	PFS framework Project Team	4	2	8	17l.1 Analyse the benefits and implications to the current BSF programme 17l.2 Complete the readiness to deliver Proforma	Dr Helen Paterson (Director of Children's Services) Dr Helen Paterson (Director of Children's Services)	30/04/08 30/04/08			New action New action	N N

Strategic Priorities/ CIP Links: SP1, SP2, SP5, SP6, SP7, SP8, C101, C103, C104

## Profile 19 External Funding

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
19a	Insufficient coordination of Council approach to the application for and the management of external funding to secure maximum value is being obtained.	Failure to maximise external funding and value for money from that external funding	Guidance issued by City Treasurer. Technical services group within the City Treasurers provide advice and guidance External Funding Protocol Chief Executive's and other Directorates internal controls	4 3 12	19a.1	Ensure recommendations of EMT external funding report provides a workable solution for external funding streams	Peter Chapman (Assistant Chief Executive)	30/04/08	Assistant Chief Executive to conclude report and provide to EMT.	T	Incorporated into action 19c.1 - on target	M
					19a.2	Ensure appropriate exit strategies are in place for funding streams that are coming to an end including expectations of continuing service delivery.	Dave Smith (Deputy Chief Executive) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	<del>30/04/08</del> 31/12/08	Ensure sections of EMT report and other guidance on exit strategies is implemented. Directorates to identify and plan for ending of funding streams. Actions cover issue transferred from Profile 1c2	T	Incorporated into action 19c.1 Target date changed from 30/04/08 to 31/12/08	M
					19a.3	Prioritise management of external funding to meet Corporate Objectives	Dave Smith (Deputy Chief Executive)	30/04/08	Ensure Corporate approach to all funding is put in place and not restricted to strategic regeneration	T	Incorporated into action 19b.1 - on target	M
					19a.4	Adhere to External Funding Protocol.	Dave Smith (Deputy Chief Executive)	<del>31/03/08</del> 31/12/08	Transferred from Profile 1c.3	T	Incorporated into action 19c.1 Target date changed from 31/03/08 to 31/12/08	M
					19a.5	Finalise review of External Funding	Dave Smith (Deputy Chief Executive)	<del>31/03/08</del> 31/12/08	Transferred from Profile 1c.4	T	Incorporated into action 19c.1 Target date changed from 31/03/08 to 31/12/08	M
19b	Failure to maximise external funding to support strategic objectives	Resources are not acquired to support delivery of strategic objectives	Guidance issued by City Treasurer. Technical services group within the City Treasurers provide advice and guidance External Funding Protocol Chief Executive's and other Directorates internal controls	4 3 12	19b.1	Undertake annual review of funding opportunities to support strategic objectives and set targets for the attraction of funds. Prioritise management of external funding to meet Corporate Objectives	Dave Smith (Deputy Chief Executive)	<del>30/04/08</del> Annual		New Action incorporating previous action 19a.3. The target date for the previous action (30/04/08) is on target but this will become an annual process.	T	
19c	Failure to obtain long term value for money from secured external funding	Failure to achieve strategic objectives	Guidance issued by City Treasurer. Technical services group within the City Treasurers provide advice and guidance External Funding Protocol Chief Executive's and other Directorates internal controls	4 3 12	19c.1	Procedures and guidance to be reviewed and reported to EMT and ensure appropriate exit strategies are in place for funding streams that are coming to an end including expectations of continuing service delivery. Finalise review of external funding	Dave Smith (Deputy Chief Executive)	<del>31/04/08</del> 31/12/08		New Action incorporating previous actions 19a.1, 19a.2, 19a.4, 19a.5. Target date changed from 31/03/08 to 31/12/08	D	

Strategic Priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

## Profile 20 Capital Strategy

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
20a	Failure to optimise Capital-Assets to enhance delivery of strategic objectives the benefits of effective asset management	Failure to make best use of assets and resources Failure to achieve capital investment priorities and improved services. Failure to reduce revenue costs and deliver capital receipts thus impacting on Business Improvement Programme. Impact on CPA resources Realisation of capital receipts	Capital Strategy Capital Strategy Group. Strategic Property Review. Property Rationalisation Programme Asset Management Plan. Capital Boards in each Directorate	4 3 12	20a.1	Property Reviews to be undertaken.	Dave Smith (Deputy Chief Executive)	31/12/07	Work has begun and is progressing re operational property reviews. Target date changed from Oct 07	T	Incorporated into actions 20a.9 (Superseded - in Profile 08/09)	M
					20a.3	Investigate service integration opportunities with partnership properties. Resurrect Strategic Property Board. (Partnership Board)	Dave Smith (Deputy Chief Executive)	<del>31/12/07</del> 31/03/08	Target date changed from Oct 07	T	Target date of 31/12/07 missed. New target date of 31/03/08. Board now in place and first meeting diaried.	C
					20a.4	Schools place planning review to be included within strategy. (Superseded - in Profile 08/09)	Dave Smith (Deputy Chief Executive)	31/12/07	Head of Land & Property on Children's Services Project Board and to liaise through Capital Strategy Group. Target date changed from Oct 07	D	Complete	C
					20a.6	Deliver Capital Strategy & Asset Management plan.	Dave Smith (Deputy Chief Executive)	31/01/08	Work ongoing. Target date changed from Oct 07	D	Split into 2 actions - see number 20a.8 and 20a.10	M
					20a.7	Ensure Business Improvement Programme objectives are taken into account in Capital Strategy.	Dave Smith (Deputy Chief Executive)	31/10/07	Work has begun and is progressing	T	Action included within review of capital strategy 20a.8	M
					20a.8	Capital Strategy to be reviewed to take into consideration new National Guidance, Sunderland Strategy and Business Improvement programme	Dave Smith (Deputy Chief Executive)	<del>31/04/08</del> 31/07/08	Work ongoing. Target date changed from Oct 07	D	Previously action 20a.6. Target date changed from 31/01/08 to 31/07/08	D
					20a.9	Asset management plan to be (largely) delivered through delivery of Property Rationalisation Programme (NB: other areas of work include Delivery of the Capital Programme and Delivery of Fit for Purpose Properties etc). Milestones to be achieved:- - Programme to be agreed by Cabinet, EMT and Capital Strategy Group (July 08) - Implementation of Programme (over 3-5 years)	Dave Smith (Deputy Chief Executive)	<del>31/12/07</del> 31/07/08		D	Original target date of 31/12/07 reflected action 20a.1 'Property reviews to be undertaken'. This action now supersedes 20a.1 and has a new target date of 31/07/08.	D
					20a.10	Asset Management Plan to be reviewed and rewritten	Dave Smith (Deputy Chief Executive)	<del>31/04/08</del> 30/04/08	Work ongoing. Target date changed from Oct 07	D	Previously action 20a.6. Target date changed from 31/01/08 to 31/04/08	D

Strategic Priorities/ CIP Links: SP1, SP3, SP4, SP7, CI01, CI03, CI04

## Profile 21 Commissioning/ Procurement

Council Priority = **Medium**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
21a	Fail to ensure that value for money is achieved through the procurement process (including Gershon efficiencies)	Failure to achieve value for money and achieve Gershon efficiency targets. Breach of European tendering procedures	Procurement Strategy / Major Procurement Process Cabinet report on Gershon efficiencies	4 2 8	21a.1	New Procurement Procedure Rules to be implemented in March 2007. Consider issuing version tailored to Schools.	Keith Beardmore (City Treasurer)	30/04/08	PPRs Completed in March 2007. Schools to be developed by new Head of Corporate Procurement.	T	Implementation of procedure rules not completed	T
					21a.2	Electronic procurement to be further developed to include the following: SAP SRM / e-Marketplace	Keith Beardmore (City Treasurer)	30/04/08 31/03/09	All in progress	T	Electronic Procurement targets identified individually below	C
					ii	purchase cards.	Keith Beardmore (City Treasurer)	30/04/08 30/09/09		T	Target date changed to 31-3-09	D
					iii	e invoicing	Keith Beardmore (City Treasurer)	31/03/10			New action	N
					vi	e tendering	Keith Beardmore (City Treasurer)	31/03/09			New action	N
					21a.3	Gershon efficiency targets to be achieved	Keith Beardmore (City Treasurer)	31/03/08	General savings target likely to be achieved. Specific contract areas to be delivered in 2008	T	Targets achieved. Risk closed. Gershon targets to be considered in new strategy - see risk 21b.1	C
					21a.4	Ensure procurement of ICT takes into account BCM where appropriate.	Keith Beardmore (City Treasurer)	30/04/08	Code of Practice on ICT procurement to be produced to include BCM	T	Code of practice to be developed	T
21b	Corporate Procurement Strategy fails to provide clarity around conflicting priorities	Negative impact on local SME's Economic prosperity	Procurement Strategy / Major Procurement Process Cabinet report on Gershon efficiencies	4 3 12	21b.1	Review Corporate Procurement Strategy to provide guidance around conflicting priorities including - Capital procurement - Efficiency savings - Third sector - Local SME's - Sustainability - Capacity & Skills	Keith Beardmore (City Treasurer)	31/03/09		New action	N	
21c	Commissioning is undertaken without a corporate view	Directorates not aware of corporate capacity Greater impact on Adults and Children's Services Do not meet the expectations of the voluntary sector and the community Additional resources	Procurement Strategy / Major Procurement Process Cabinet report on Gershon efficiencies	4 3 12	21c.1	Agree the process for developing a commissioning strategy and then report to EMT	Keith Beardmore (City Treasurer)	31/03/09		New action	N	
					21c.2	Develop a Corporate Commissioning Strategy to address - A Council wide understanding of commissioning. - Capacity and skills. - Links between commissioning and procurement Engage with the voluntary sector	Keith Beardmore (City Treasurer)	31/03/09		New action	N	

Strategic Priorities/ CIP Links: SP1, SP2, SP5, SP7, CI01, CI02, CI03

## Profile 22 Partnerships

Council Priority = **MEDIUM**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
22a	Failure to maximise benefits and opportunities of partnership working	Financial, service delivery and legal implications Impact on CPA	Annual Report on Significant Partnerships/ The Partnership Code of Practice should ensure that; - The need to create the Partnership is assessed - The objectives of the Partnership have been agreed by all Partners - Appropriate processes for Governance, Accountability and Probity are in place and include: - Financial management arrangements - Performance management arrangements - Information sharing protocols - HR issues are addressed - Risk assessments are carried out	4 2 8	22a.2	Register of Partnerships to be reviewed and enhanced. Prospective Partnerships being developed, to be included.	Keith Beardmore (City Treasurer)	31/03/08	Development is completed. Electronic version to go live.	T	Live register of existing partnerships in place. Process for the inclusion of developing partnerships to be given greater awareness	C
					22a.3	Continue to develop risk registers for partnerships.	Keith Beardmore (City Treasurer) Lead / Dave Smith (Deputy Chief Executive) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	31/03/08	Ongoing	T	Registers developed for significant Partnerships.	T
					22a.4	Code of practice to be reviewed and reissued by March 2009 to further ensure effective governance of partnerships	Keith Beardmore (City Treasurer)	01/03/09			New action	N
					22a.5	Classification of Significant Partnerships to be reviewed	Keith Beardmore (City Treasurer)	Annually			New action	N
					22a.6	Review the effectiveness of process for inclusion of Partnerships in development	Keith Beardmore (City Treasurer)	31/07/08			New action	N
					22a.7	Develop registers for any partnerships that become classified as significant	Keith Beardmore (City Treasurer) Lead / Dave Smith (Deputy Chief Executive) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	Annually			New action	N
					22b	Failure to have a coordinated approach to the development of Partnerships and Partnership Officers	Fail to maximise opportunities presented by partnership working	Partnership Code of Practice	4 2 8	22b.1	Develop a core competencies and development programme for partnership managers	Dave Smith (Deputy Chief Executive)
22b.2	Consider arrangements for the co-ordination of partnership activities and compliance with the Code of Practice	Dave Smith (Deputy Chief Executive)	31/03/09							New action	N	

Strategic Priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

## Profile 23 Information Management

Council Priority = **MEDIUM**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
23a	Failure to have an effective information management system	Reduced standard of service delivery and breach of legislation FOI/ Data Protection	Information Governance Policy and Strategy. The Council has produced its FOI publication scheme. Some controls and protocols exist, but there is no overarching process.	4 3 12	23a.1	Undertake council wide audit to establish the type and extent of data that is held which will inform analysis around recording storage retention and archiving of data	Bob Rayner (City Solicitor)	31/12/07	Audit process being undertaken by Directorates and coordinated by the Information Manager	T	Audit undertaken in most areas. Action combined with 23a2 to ensure completion of audit and production of retention schedules	C
					23a.2	Retention schedules to be developed upon completion of Audit Directorates to follow Council procedures to develop retention schedules	Bob Rayner (City Solicitor)	31/12/08	New issue	N	Work started	T
					23a.3	Introduction of File Plans to produce structured index of information held by council Introduction of File Plans to provide guidance for the storage of information and email (Pilot project to be	Bob Rayner (City Solicitor)	31/12/09	New issue	N	Work started. Change of wording to show benefits	T
23b	Failure to maintain and improve data quality	Inadequate / unreliable data will prevent the collation of accurate performance management information	Information Governance Policy and Strategy. Data Quality self assessment	3 3 9	23b.2	Data quality to be reviewed and improved where appropriate.	Dave Smith (Deputy Chief Executive) / Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/12/08	Level 3 achieved and plan to be developed to achieve level 4	T	Data Quality Audit carried out by Audit Commission and action plan agreed	C
					23b.4	Requirements and Specification Document to be developed to enable procurement process to be started	Dave Smith (Deputy Chief Executive)	31/12/08		N	Document developed. Procurement process started	C
					23b.5	Implement action plan agreed with Audit	Dave Smith (Deputy Chief Executive)	31/12/08		N	New Action	N
					23b.6	Appointment of supplier of electronic performance management system	Dave Smith (Deputy Chief Executive)	30/09/08		N	New Action	N
					23b.7	Improve how we share information on a locality basis	Dave Smith (Deputy Chief Executive)	31/03/09		N	New Action	N
					23d1	Data transfer audit to be undertaken	Bob Rayner (City Solicitor)	01/12/08		N	New Action	N
					23d2	Review compliance with the Payment Card Industry Standard	Bob Rayner (City Solicitor)	01/12/08		N	New Action	N
23d	Council data is not adequately protected	Loss of information. Reputation damage	Information Security Management ISO 27001	4 2 8	23d3	Appropriate protocols and encryption safeguards to be in place for the use of laptops, email and other portable devices	Dave Smith (Deputy Chief Executive)	31/03/09		N	New Action	N
					23e.1	Implementation of the FOI and complaints project	Bob Rayner (City Solicitor)	31/12/08		N	New Action. An incremental approach to implementation is in place with the implementation of complaints Phase 1 (access to contact centre staff and complaints link	N
					23e	Lack of consistent approach to FOI and complaints	Customers receive conflicting service delivery	Corporate Information Governance Group	3 3 9			

Strategic Priorities/ CIP Links: SP4, SP5, CI03

## Profile 25 Governance Arrangements

Council Priority = **LOW**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
25a	Failure of governance arrangements	Failure to meet Strategic Objectives. Failure of public perception and confidence	Local Code of Corporate Governance Corporate Governance Review carried out annually Corporate Governance Steering Group	5 1 5	25a.2	Implement recommendations of Corporate Governance Steering review group following review in March.	Keith Beardmore (City Treasurer) / Lead / Dave Smith (Deputy Chief Executive) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	31/11/07 Annually	PD to review position against action plan	T	Actions completed following review in March 07. Actions to be undertaken on an annual basis	C
					25a.3	Corporate Governance and Internal Control to be integrated in Corporate Improvement Plan and reported 1/2 yearly – progress re Governance Action Plan is covered in this way.	Keith Beardmore (City Treasurer)	31/11/07	Consider half yearly review of CIP to allow this to happen	T	Corporate Governance and Internal Control Review has not been included within CIP. Half yearly progress report to be sent to EMT	C
					25a.4	Directors to ensure on an annual basis that performance reporting measures are in place, and are relevant and effective within their own Directorates to allow monitoring of their own governance arrangements. – no particular concerns across the Council.	Keith Beardmore (City Treasurer) / Lead / Dave Smith (Deputy Chief Executive) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	31/03/08 Annually	Directorate Performance Clinics in place	T	Performance clinics continue to be utilised by Directorates to review performance. Actions to be undertaken on an annual basis	C
					25a.5	Directors to review their delegation schemes.	Keith Beardmore (City Treasurer) / Lead / Dave Smith (Deputy Chief Executive) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	31/03/08	Delegation schemes review in progress	T	Completed	C
					25a.6	Directors to specifically consider the risk of fraud and corruption on an ongoing basis (and including partnerships). Ensuring compliance with appropriate legislation, Codes of Conduct, Rules of Procedure, Contract and Financial Procedure Rules. Conditions of Service.	Keith Beardmore (City Treasurer) / Lead / Dave Smith (Deputy Chief Executive) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	31/03/08 Annually	To be considered as part of the Directorate Risk Management assessments	T	On target Actions to be undertaken on an annual basis	T
					25a.7	Consideration to be given, for Directors to carry out an annual review of their delegation schemes	Keith Beardmore (City Treasurer) / Bob Rayner (City Solicitor) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely (All Chief Officers)	31/03/09		N	New action	N
					25b	Failure of employees to understand responsibilities	Possible breaches of legislation and Council protocols. Negative impact on Council reputation.	Employee Code of Conduct	4 2 8	25b.1	Review and reissue employee code of Conduct	Keith Beardmore (City Treasurer) / Lead / Bob Rayner (City Solicitor)



**Profile 26 Resilience to Major Incidents**

Council Priority = **LOW**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
26a	Major Incident <b>Emergency-Response</b> Plan is not continuously refreshed reviewed and communicated. The Council and partners are unable to respond to a major incident	No clear guidance to protect stakeholders when a major incident occurs.	Major Incident <b>Emergency Response</b> Plan in place supported by Corporate Group. Subject to regular testing and updating. Partners with South Tyneside Authority for the management of a major incident	5 2 10	26a.1	Major Incident <b>Emergency Response</b> Plan due to be updated. Structure to be changed.	Phil Barrett (Director of D&R)	31/03/08	EPU responsibility to take this forward with Council contribution to overall plan. Target date changed from Sept 07	D	MIP being updated, should be completed by March 08. (New structure to be developed for the plan with action cards etc and this is being built into the new Emergency Response Planning meetings throughout 2008).	C
					26a.2	Major Emergency Response Plan and specific supporting plans (e.g. Flood Plans) due to be updated and disseminated.	Phil Barrett (Director of D&R)	01/12/08		New action	N	
					26a.3	Plans to be tested	Phil Barrett (Director of D&R)	01/04/08		Update: A number of exercises (Project Argus and Norland Exercise) are planned for Feb & March 08. A council specific test (for Major Incident Room) is still to be determined.	N	
					26a.4	Formation of working party - Lead D&R to include C&CS - to develop corporate action plan to address the overall issues of flooding	Phil Barrett (Director of D&R)	31/12/08		New Action	N	
26b	Council unable to continue business during an incident/ disruption	Does not provide clear guidance to enable business recovery to be immediately implemented	Corporate Group has been established and templates have been produced to assist directorates to complete business continuity plans	5 3 15	26b.1	Skills audit of critical functions of each service to be undertaken. Skills audit of critical functions of each service to be undertaken (in line with the new HR system)	Phil Barrett (Director of D&R)	31/03/09	Use of HR system being considered to house information. Work already carried out for critical functions	T	Although critical functions have been identified, the skills audit has not taken place yet. This was held off with regard to the new HR system. HR to confirm how/when this can be taken forward. Date to be reviewed in March 2009.	D
					26b.2	Business dependencies to be further analysed.	Phil Barrett (Director of D&R) Lead / Dave Smith (Deputy Chief Executive) / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/08	Workshop held and work is progressing	T	Action complete. This action will be a requirement for 2008 also.	C
					26b.4	Further testing of plans to be undertaken (as stated in Stage 4 of the new British Standard)	Phil Barrett (Director of D&R)	30/04/08 Annually	New action	N	Testing undertaken and further tests to be developed to comply with the new British standard. On target for April 2008 but to be completed on an annual basis	T
					26b.5	Internal and External dependencies to be identified in next cycle of BCM planning to tie in with new British Standard (due to start April 08)	Phil Barrett (Director of D&R) Lead / Dave Smith (Deputy Chief Executive) / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	31/03/09		New action	N	
					26b.6	Checking mechanism (against key impact criteria) to be put in place to confirm status of critical functions	Phil Barrett (Director of D&R)	31/05/08		New action	N	
					26b.7	Schools to develop BCM plans	Dr Helen Patterson (Director of Children's Services)	31/03/10		New action	N	
					26c	The Council does not take a lead role in developing BCM management/planning within the City	No clear guidance provided to businesses and partners to develop and implement BCM. No clear responsibilities determined.	Local Resilience Forum in place. Education / awareness exercises performed Joint working in resilience established	5 2 10	26c.1	Implement recommendations from Internal Audit on BCM.	Phil Barrett (Director of D&R)

Strategic Priorities/ CIP Links: SP1 ,SP7, CI03, CI04

**Profile 28 Financial Pressures**

Council Priority = **MEDIUM**

ID	Risks	Impact	Current Controls	Impact Likelihood Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
28a	Failure to manage financial pressures (Impacting factors, Lyons Review, Government Efficiency targets, CSR 2007 settlement etc) Equal pay and associated costs. Efficiency issues and staff costs Growth money given to health may cease EU working time Directive re staff sleeping over	Decreasing level of service provided to stakeholders	Medium Term Financial Strategy FMS system Budget Monitoring Budget Planning Framework which incorporates 1) use of cash limits; 2) target efficiency savings 3) corporate and service efficiency reviews 4) policy on reserves	4 2 8	28a.1	Report MTFS to EMT and agree priorities and Budget Planning Framework	Keith Beardmore (City Treasurer)	31/03/08	Regular reports produced	T	Annual process. Actions complete for 07-09. Framework for 08-09 agreed.	C
					28a.2	Identification of and agreement of efficiency targets for 1. Specific corporate projects 2. Directorate targets	Keith Beardmore (City Treasurer) Lead / Dave Smith / Philip Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	31/03/08	Process underway for 08-09	T	Annual process. Actions complete for 07-09.	C
					28a.3	Service policy reviews are conducted to achieve cost reductions where appropriate	Keith Beardmore (City Treasurer) Lead / Dave Smith / Philip Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	31/03/08	Programme initiated	T	Completed	C
					28a.4	Continue to implement FMS system to assist in the achievement of business benefits and to support the Business Improvement Programme.	Keith Beardmore (City Treasurer)	31/03/08	System continues to be developed	T	Completed	C
					28a.5	Report MTFS to EMT and agree priorities and Budget Planning Framework on an annual basis	Keith Beardmore (City Treasurer)	Annually		New action	N	
					28a.6	Identification of and agreement of efficiency targets for 1. Specific corporate projects 2. Directorate targets on an annual basis	Keith Beardmore (City Treasurer) Lead / Dave Smith / Philip Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	Annually		New action	N	
					28a.7	Continue to implement \ upgrade FMS system to assist in the achievement of business benefits and to support the Business Improvement Programme.	Keith Beardmore (City Treasurer)	Annual		New action	N	

Strategic Priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

**Profile 29 Safer City**

**Council Priority = MEDIUM**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
29a	Failure to comply with S17 of the CDA. Failure to demonstrate compliance of S17 of the CDA. Not effectively managing crime and disorder	Failure to reduce crime and fear of crime, anti social behaviour and substance misuse. Failure to reduce public perception of the level of crime, anti social behaviour and substance misuse. Leaves us open to legal challenge and upheld complaints (e.g. ombudsman etc). Increased numbers of issues raised under Calls for Action. Loss of council reputation.	Comprehensive regular review of compliance across the Council Corporate Section 17 Improvement Plan developed Individual, tailored training session provided for managers in each Directorate Lead Officer in Safer Communities Team nominated to monitor compliance and provide support	5	2	10	29a.1	Ensure the Council's responsibilities under Section 17 are communicated and implemented across the Council.	31/12/07	Should be complete by Dec 07. On track.	T	Action completed by target date.	C
							29a.5	Develop and implement briefing bulletin/ induction process for all staff.	01/03/08	Using information from the evaluation / questionnaire to inform this.	T	Action completed by target date.	C
							29a.6	Identify improvement actions where support may be required to deliver.	31/12/07	Officer in post now to monitor this.	T	Action completed by target date.	C
							29a.7	Monitor compliance with core Section 17 responsibilities.	31/12/07	Officer in post now to monitor this.	T	Action completed by target date.	C
							29a.8	Develop and agree S17 policy	Dave Smith (Deputy Chief Executive)	30/09/08		New action	N
							29a.9	Review key decision (through Cabinet) compliance with S17 and report to EMT	Dave Smith (Deputy Chief Executive)	30/11/08		New action	N
							29a.10	Develop Improvement Plan following review (as appropriate)	Dave Smith (Deputy Chief Executive)	31/01/09		New action	N
							29a.11	Update Council's S17 Corporate Improvement Plan in line with revised Safer Sunderland Strategy, LAA and CAA arrangements.	Dave Smith (Deputy Chief Executive)	30/06/08		New action	N

Strategic Priorities/ CIP Links: SP1, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

**Profile 30 Waste Management**

**Council Priority = HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
30a	Fail to ensure Sunderland's achievement of LATS targets.	Non achievement of LATS targets and potential exposure to penalties. Increased costs of waste disposal.	Representation on STWWMP Project Board and established sub-groups. Joint Executive Committee. Regular progress meetings between City Treasurer and HoES. Monitoring of WasteDataFlow and Environment Agency outturn forecasts.	4	2	8	30a.1	Cabinet agreement of Waste Strategy and Outline Business Case.	31/12/07	LATS targets achieved for 05/06 and 06/07 with surplus. Further significant surplus anticipated 07/08. Increased levels of recycling and composting achieved (30% for first quarter).	N	Strategy and Outline Business Case approved December '07.	C
							30a.2	Implement waste management bridging arrangements (from 2009 until new facility in place)	31/12/08			New action	N
30b	Failure to effectively communicate aims and objectives of the Joint Municipal Waste Management Strategy and the resultant requirement for waste treatment infrastructure to residents of Sunderland and the Partnership area.	Public rejection of Joint Municipal Waste Management Strategy and/ or infrastructure proposals. Other parties generate adverse publicity for proposals affecting Council's standing. Costs escalate as a result of delays or more costly options being adopted. Failure to achieve targets	Waste Management Strategy	4	4	16	30b.1	Develop Communication Strategy at Council and Partnership level (including approach and plan)	31/03/08	Joint Municipal Waste Management strategy subject to public consultation. Responses considered and draft strategy amended prior to Cabinet agreeing its adoption in Oct 2007. Communications plan being developed for OBC submission.	N	A communications workshop has already been held with PR company Escott Hunt in respect of the Outline Business Case. Sunderland Communications team are fully engaged with the Gateshead led Communication sub-group and feed into the Communication Strategy which addresses the issues relating to both the Outline Business Case and the Joint Municipal Waste Management Strategy. A Communication Paper, outlining proposals for taking forward communication specific to Sunderland is pending approval from EMT. An action plan is in place pending that approval.	T
							30b.2	Implement Council Communication Action Plan	31/05/08			New action	N
30c	Cost of or the funding contribution in respect of the PFI project proves to be prohibitive or unsustainable	Unsustainable increase cost to Sunderland council for the management and disposal of waste. A need to address alternative funding arrangements could extend liability to LATS penalties and increased costs.	Joint working of Partnership Treasurers.	5	2	10	30c.1	Cost allocation framework and economies of scale to be addressed and agreed	31/03/08	Technical and financial modelling for the purposes of the OBC being undertaken by Partnership advisors	N	Principles have been agreed for the allocation of costs between partners. The costs of the 2 reference projects are indicative only at this stage. The actual costs will be subject to change and be determined by the final technology solution procured.	C
							30c.2	Monitor councils expected contributions to ensure appropriate reserves have been allocated to meet affordability	On-going during project			Provision has been made in new budget. Process has started	N
30d	Failure to comply with waste disposal legislation	Risk of prosecution under Hazardous Waste Regulations (2005) or Waste Electrical and Electronic Equipment Directive	Collection facilities exist for all hazardous waste streams (but do not operate across all council premises/services)	4	4	16	30d.1	Issue hazardous waste guidance note to all Council premises	30/06/08			New action	N
							30d.2	Confirm all premises meeting Hazardous Waste Regulations	31/03/09			New action	N

Strategic Priorities/ CIP Links: SP1, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

## Profile 31 Sustainability Agenda

Council Priority = **MEDIUM**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
31a	Failure to have an overall Council approach to sustainability	Reputational risk of council not being seen to adopt its own sustainability goals Council carbon emissions and energy costs will increase Disposal cost of corporate waste will increase. Risk of breaching waste regulations. Wider benefits of council expenditure on local community and environment will be lost. Cost and environmental impact of employee travel to and during work will increase. Employees do not adhere to council sustainability issues	Energy Management systems, Carbon Plan and Corporate Travel Plan all in place.	4	4	16						New action	N
							31a.1	Work towards adopting a corporate sustainability policy by developing:	Phil Barrett (Director of D&R)	31/03/09		New action	N
							31a.2	Deliver Year 2 work programme within the Carbon Plan	Phil Barrett (Director of D&R)	31/03/09		New action	N
							31a.3	Provide resources to develop a corporate Waste and Recycling Plan	Keith Beardmore (City Treasurer)	31/03/09		New action	N
							31a.4	Develop a Sustainable Procurement Strategy, and meet Level 1 of the national Flexible Framework	Phil Barrett (Director of D&R)	31/03/09		New action	N
							31a.5	Publish Corporate Travel Plan. Increase uptake of discounted travel passes.	Dave Smith (Deputy Chief Executive)	30/06/08		New action	N
							31a.6	Develop and adopt employee policies, training and induction material on sustainability	Phil Barrett (Director of D&R)	31/03/10		New action	N
31c	Failure to implement sustainability appraisals (SA) of key decisions	Council cannot demonstrate all decisions are made according to sustainable development principles	SA carried out already on all statutory planning documents, Sunderland Strategy and Local Area Agreement. SA for projects/programmes being piloted within PRINCE2 systems	4	4	16	31c.	Expand sustainability appraisal process as follows:				New action	N
							31c.1	Produce simple checklist for rolling out SA	Phil Barrett (Director of D&R)	30/09/08		New action	N
							31c.2	Apply SA to all Projects and Programmes	Dave Smith (Deputy Chief Executive)	30/09/08		New action	N
							31c.3	Include SA within Service Planning framework	Dave Smith (Deputy Chief Executive)	30/09/08		New action	N
							31c.4	Include SA within Capital Programme bidding process	Keith Beardmore (City Treasurer)	30/09/08		New action	N
							31c.5	Include SA within area-based regeneration funding	Phil Barrett (Director of D&R)	30/09/08		New action	N
							31c.6	Develop sustainability guidance for report writing on strategic decisions	Bob Rayner City Solicitor	30/09/08		New action	N
31d	Failure to implement overall city wide approach to Climate Change.	Unable to fulfil our commitments to reach our targets to reduce CO2 emissions and carbon footprint.	The Sunderland Partnership signed the Nottingham Declaration on Climate Change in 2001 (this commits the council to develop a climate change action plan).	3	2	6	31d.1	Develop Climate Change Action Plan	Phil Barrett (Director of D&R)	30/09/08		This is being produced now. Consultation was held last summer and responses collated. Hope to publish this in the summer to coincide with the Climate Change Bill.	N

Strategic Priorities/ CIP Links: SP1, SP4, SP5, SP6, SP7, SP8, CI01, CI02, CI03, CI04

## Profile 32 Economic Regeneration

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Recommended Actions March 2007	Responsibility	Target Date	Progress Update September 2007	Status	Progress Update March 2008	Status	
32a	Failure to create a prosperous city	Failure to develop a strong and competitive local economy. Average employee wages in the area are below the national average. Failure to raise Gross Added Value per head.	Sunderland Strategy Thematic Group CIP	5	3	15	32a.1	Produce an Economic Development Master Plan, that identifies the direction of growth for the city economy, which will create wealth and employment. The plan will focus on Physical, Economic and Social regeneration	Dave Smith (Deputy Chief Executive)	30/04/09		New action	N
32b	Failure to address the skills deficit, to enable the local workforce to be skilled, motivated and wealth creating	Sunderland residents do not have the skills to take advantage of new employment opportunities. Fail to reduce worklessness	Sunderland Strategy Thematic Group CIP	5	4	20	32b.1	Targets and interventions to be set out in Economic Development Master Plan to address skills issues	Dave Smith (Deputy Chief Executive)	31/03/08 30/04/09		Previously 3b.1 and 3b.2	D
32c	Failure to support the growth of existing and new business and business sectors.	Failing to develop a sustainable economy and increase job opportunities	Sunderland Strategy Thematic Group CIP	5	3	15	32c.1	Economic Development Master Plan to provide a clear enterprise agenda, that covers a range of support from business start up to sector growth	Dave Smith (Deputy Chief Executive)	30/04/09		New action	N

Strategic Priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, CI02, CI04