

Corporate Risk Profile Action Plan 08/ 09

Action Status:

C	Complete
D	Delayed
T	On Target
N	New
MD	Moved & Delayed
MT	Moved & on target

Impact:

1 = Insignificant
2 = Minor Impact
3 = Medium Impact
4 = Major Impact
5 = Major Disaster

Likelihood:

1 = Zero to very low
2 = Unlikely
3 = Likely
4 = Very Likely
5 = Almost Certain

RISK RATING MATRIX		IMPACT				
		Insignificant	Minor	Medium	Major	Major Disaster
		1	2	3	4	5
COACH/BMFI	Almost certain	5	4	3	2	1
	Very Likely	4	3	2	1	
	Likely	3	2	1		
	Unlikely	2	1			
	Very Low	1				

Strategic Priorities:

- SP1 Prosperous City
- SP2 Healthy City
- SP3 Safe City
- SP4 Learning City
- SP5 Attractive and Inclusive City

Cross Cutting Priorities:

- CCP1 Sustainability
- CCP2 Creating Inclusive Communities
- CCP3 Housing
- CCP4 Culture

Corporate Improvement Objectives:

- CI01 Delivering customer focussed services
- CI02 Being "One Council"
- CI03 Efficient and effective council

Profile 1 Sunderland Strategy

Council priority = HIGH

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
1b	Sunderland Partnership fails to deliver outcomes of the Sunderland Strategy and realise the ambitions of the City	1. Do not achieve a better quality of life for people within Sunderland. 2. Fail to change public perception of council performance.	1. All targets within the Sunderland Strategy and LAA are included in Corporate Improvement Plan and are monitored by the Performance Team. 2. These performance reports are scrutinised by Cabinet, EMT, Partnership Board, GONE, Audit Commission and via CPA	5	2	10	Dave Smith (Chief Executive Designate)	1b.1 Identify responsibility and accountability for targets including regional targets	Dave Smith (Chief Executive Designate)	31/03/08 30/09/08	Action delayed. Target date changed from 31/03/08 to 30/09/08. To be agreed following sign off of strategy and agreement of LAA targets.	D	September 08 update Action completed prior to target date (30/09/08).	C
								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 (Chief Executive Designate)	31/03/08 31/12/08	Action delayed. Target date changed from 31/03/08 to 31/12/08. Review of partnership underway by external consultants.	D	September 08 update Action on Target.	T
								1b.3 Define short term, medium term and long term targets for delivery of the strategy/ LAA	Dave Smith (Chief Executive Designate)	31/03/08 30/09/08	Action delayed. Target date changed from 31/03/08 to 30/09/08. To be agreed following sign off of Strategy and agreement of LAA targets.	D	September 08 update Action completed prior to target date (30/09/08).	C
								1b.5 Identification of interventions / actions required to achieve all National Indicator sets and local priorities	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action completed prior to target date (31/12/08).	C
								1b.6 Redefine the performance management framework to support delivery of the Sunderland Strategy / LAA targets and improved outcomes for local people	Dave Smith (Chief Executive Designate)	31/03/08 31/12/08	Action delayed. Target date changed from 31/03/08 to 31/12/08. Previously action 1b.4.	D	September 08 update Action on target.	T
								1b.7 Enhancing Defining and implementing Area Arrangements	Dave Smith (Chief Executive Designate)	31/12/07 31/12/08	Action delayed. Target date changed from 31/12/07 to 31/12/08. Previously action 1a.3. To be reviewed following the elections.	D	September 08 update Action on target	T
								1b.8 Improve Thematic / Cross Cutting Partnerships to ensure that they are fit for purpose to deliver LAA targets and Sunderland Strategy	Dave Smith (Chief Executive Designate)	31/03/09			New action	N
								1b.9 Following the implementation of the revised Partnership arrangements, review the classification of Partnerships as Significant / Non significant	Dave Smith (Chief Executive Designate)	31/09/09			New action	N
								1b.10 Review and challenge the Sunderland Strategy / LAA / MAA delivery plans to ensure that they are comprehensive and robust to deliver targets	Dave Smith (Chief Executive Designate)	31/03/09			New action	N
1c	Fail to obtain and optimise resources to deliver Sunderland Strategy .	1. Not achieving a better quality of life for people within Sunderland 2. Fail to achieve value for money	1. Medium Term Financial Strategy 2. External Funding arrangement protocol	3	3	9	Dave Smith (Chief Executive Designate)	1c.5 Identify a resource framework for each target within LAA Sunderland Strategy	Dave Smith (Chief Executive Designate)	31/03/08 31/03/09	Action delayed. Target date changed from 31/03/08 to 31/03/09. Previously action 1c.1. Still uncertainty over external funding streams. Now contained within action to finance targets within LAA/ Sunderland strategy.	D	September 08 update Action on target.	T

1d	Failure to maximise International, sub regional and regional opportunities	1. Unable to maximise delivery of strategic objectives if constrained by regional and sub-regional allocations / funding. 2. Failure to evidence impact.	1. Membership of appropriate/ regional bodies 2. Joint appointments with Health e.g. Director of Public Health and Deputy Director HH&AS 3. Lead Authority for the City Region	2	3	6	Dave Smith (Chief Executive Designate)	1d.5	Maximise opportunities through: City Region- Multi Area Agreements T&W public Sector Boards Public Sector working in appropriate spatial areas Review Partnership links within the sub region & region to maximise opportunities for Sunderland	Dave Smith (Chief Executive Designate) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	Annual	New action	N	September 08 update Action on target.	T
1e	Failure to maximise opportunities through community cohesion and diversity to deliver safer and stronger communities	1. Increased community tension , and extremism locally. 2. Reputation locally and nationally. 3. Social and economic consequences	1. Community cohesion contingency plans in place with clear roles and responsibilities involving key partners	5	3	15	Dave Smith (Chief Executive Designate)	1e.1	Community cohesion issues to inform development of local area plan	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target.	T
Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP3, CCP4, CI01, CI02, CI03, CI04															

Profile 2 Improvement Agenda

Council priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
2a	CAA reporting by the Audit Commission, highlights major areas for improvement	1. Failure to utilise Council resources to achieve a better quality of life for people within Sunderland and deliver value for money.	1. CAA Roadmap 2. Direction of Travel self assessment. 3. Corporate Performance Management Framework 4. Performance clinics 5. Performance reporting to EMT, Cabinet and Scrutiny	5	2	10	Dave Smith (Chief Executive Designate)	2a.1	Deliver the Sunderland Strategy and LAA / MAA and reduce the deprivation gap: 1) between areas within Sunderland 2) between Sunderland and the national average.	Dave Smith (Chief Executive Designate)	30/09/09		September 08 update New Action	N	
								2a.2	Further develop effective working relationships with regional partners including GONE and Audit Commission to allay any perception issues	Dave Smith (Chief Executive Designate)	30/09/09		September 08 update New Action	N	
2b	Business Improvement Programme fails to improve the overall quality of services provided to customers	1. Failure to utilise Council resources to deliver value for money to stakeholders	1. Approach and implementation under guidance of EMT providing challenge and assurance to ensure the programme's projects are fit for purpose. 2. A corporate Programme and Project Office (PPO) has been established to co-ordinate the Business Improvement Programme. 3. Community Strategy for the Improvement Agenda 4. BIP Communications Implementation Plan 5. Benefits Management Strategy for the BIP 6. Benefits Realisation Plan for the BIP	4	2	8	Dave Smith (Chief Executive Designate)	2b.8	"Improvement" Communication plan to be implemented	Dave Smith (Chief Executive Designate)	30/09/08 31/10/08	New action	N	September 08 update Action delayed. Target date changed from 30/09/08 to 31/10/08. Method of distribution changed which delayed action. Letters will now be sent out to staff.	D
								2b.9	Implementation of the Benefits Realisation plan in line with targets and timescales	Dave Smith (Chief Executive Designate)	30/09/08	New action	N	September 08 update Action completed prior to target date (30/09/08).	C
								2b.10	Visioning workshops to be undertaken to ensure projects deliver agreed programme benefits (including Customer Service Access Strategy)	Dave Smith (Chief Executive Designate)	31/07/09	New action	N	September 08 update Action completed by target date (31/07/08).	C
								2b.11	Post implementation reviews to be undertaken for Tranche 1 projects	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target.	T
								2b.12	Cultural change Review pilot project undertaken in CX office to develop a more systematic approach	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target	T
								CI01 Failing to Deliver customer focussed services- putting the customer at the centre of service delivery							
2c	Implementation of the Customer Service Strategy fails to improve the customer experience and consequently has an adverse impact on their satisfaction with the Council	1. Failure to maximise opportunities to improve customer services through new access channels 2. Service design and delivery do not meet customer needs 3. Reducing satisfaction and perception levels - all stakeholders - including residents, users/customers.	1. 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	Dave Smith (Chief Executive Designate)	2c.1	Enhancement of Customer Service Centre network	Paul Dobson (Director of C&CS)	31/03/09	New action	N	September 08 update Action on target.	T
								2c.2	Enhancement of access-channels e.g. internet- Formation of Customer Service Strategy Steering Group to refresh Strategy and revise the delivery plan to: 1) improve access channels 2) reduce avoidable contact	Paul Dobson (Director of C&CS)	31/03/09	New action	N	September 08 update Action on target.	T
								2c.3	Support the co-location and integration of services with public sector partner organisations	Paul Dobson (Director of C&CS)	31/03/09	New action	N	September 08 update Action on target.	T
								2c.4	Reduce face to face service payments and increasing remote payment	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target	T
2f	Contact Centre is not fit for purpose and cannot successfully support further migration of services	1. Unable to successfully provide new ways of working to improve the customer journey	1. Business Improvement Programme. BIP Board	5	2	10	Dave Smith (Chief Executive Designate)	2h.1	Successful delivery of Customer Service Network Transformation Project	Paul Dobson (Director of C&CS)	30/06/09		September 08 update New Action	N	
2d	CI01/2- Failure to obtain customer feedback and views to shape services	1. Service design and delivery do not meet customer needs 2. Reducing satisfaction and perception levels of all stakeholders, including residents	1. Annual residents survey, Budget consultation, Use of Citizen Panel, Community Spirit, Independent Advisory Groups (IAGS)	5	2	10	Dave Smith (Chief Executive Designate)	2d.1	Further develop Customer segmentation model to support area based policy development	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by 10a-d	d
								2d.2	Continue to develop Corporate Consultation Strategy	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by 10a-d	d
								2d.3	Development of area based consultation frameworks	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by 10a-d	d

2e	(CI01/3) Failure to use the findings from reviews to shape and improve services	1. Failure to secure improvement and value for money	1. Annual Audit and Inspection Letter, CPA and Annual Service Block, external inspections	5	2	10	Dave Smith (Chief Executive Designate)	2e.1	Reviews to inform Business Improvement Programme and service enhancement projects	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action completed prior to target date (31/03/09).	C
								2e.2	Reviews to inform Service review improvement programme	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action completed prior to target date (31/03/09).	C
CI02 Failure to Be One Council															
2g	(CI02/1) Failure to develop and invest in our staff to deliver first class services	1. Staff do not feel valued and respected	1. Human Resources Strategy 2. Workforce Diversity plan 3. Service transformation team	3	3	9	Dave Smith (Chief Executive Designate)	2g.1	Support the building of skills and capacity within the organisation for change and modernisation	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by 12h.	d Deleted
								2g.2	Further co- ordinate workforce improvement projects including Investors in People and flexible working	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by 12h.	d Deleted
2i	CI02/3 Lack of capacity to provide leadership and deliver effective services	1. Failure to develop managers to lead change and continuous improvement.	1. Six monthly SMT events 2. Corporate Improvement Forum 3. Sunderland Leadership Programme	3	3	9	Dave Smith (Chief Executive Designate)	2i.1	Enhance the six monthly SMT events and programmes for CIF and SLIP to address leadership issues	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by 12h.	d Deleted
CI03 Failure to have an Efficient and Effective Council															
2k	CIO3/1 Failure to provide a consistent performance improvement framework and culture across the council that supports customer focussed service delivery	1. Failure to continuously improve services	1. CPA, CAA, and external inspection 2. Corporate Performance Management Framework 3. Performance clinics 4. Performance reporting to EMT, Cabinet and Scrutiny	5	3	15	Dave Smith (Chief Executive Designate)	2k.1	CAA improvement planning	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action deleted as superseded by 2k.5	d Deleted
								2k.2	Implementation of performance management software	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action deleted as superseded by 2k.5	d Deleted
								2k.3	Enhanced role for Cabinet, Scrutiny and EMT in performance improvement	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action deleted as superseded by 2k.5	d Deleted
								2k.4	Further utilise performance management to achieve an overall satisfactory level of target achievement across the Council, Partnership and thematic groups	Dave Smith (Chief Executive Designate)	31/03/08 31/03/09	Action delayed. Target date changed from 31/03/08 to the 31/03/09. Previously action 2a.9.	D	September 08 update Action deleted as superseded by 2k.5	d Deleted
								2k.5	Review Strategic Planning and Performance Management processes to ensure that they support delivery outcomes	Dave Smith (Chief Executive Designate)	31/03/09			September 08 update New Action	N
2l	CIO3/2 Failure to provide services in most efficient, economic, and sustainable way	1. Failure to achieve value for money and maximise use of council resources	1. Council VFM framework 2. Financial arrangements 3. MTFS 4. VFM assessment and use of resources assessment 5. VFM profiles 6. Annual efficiency statements 7. Carbon management plan	5	2	10	Dave Smith (Chief Executive Designate)	2l.1	Targeted investment through Strategic Investment Fund	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by risk 28a	d Deleted
								2l.2	Deliver Corporate Efficiency projects	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by risk 28a	d Deleted
								2l.3	Deliver Specific Efficiency reviews	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by risk 28a	d Deleted
								2l.4	Carbon management projects to manage and reduce consumption of carbon based	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by 31a.1	d Deleted
2p	CIO3/6 Failure to Manage Risks	1. Failure to achieve council's priorities and objectives	1. Corporate Risk Management Strategy and Framework 2. Corporate Risk Profile.	5	2	10	Dave Smith (Chief Executive Designate)	2p.1	Continue to report annually to Cabinet, and Audit and Governance Committee, on the effectiveness of the Risk Management process	Dave Smith (Chief Executive Designate) Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore Lead/ Bob Rayner (All Chief Officers)	31/03/09	New action	N	September 08 update Action moved and on target. Transferred to risk 25d as the risk and associated actions are more aligned to Corporate Governance than the Improvement Agenda	MT
2r	CIO3/8 Failure to use the audit function to improve services	1. Failure of governance arrangements and operations not being carried out as planned	1. Annual audit programme	5	2	10	Dave Smith (Chief Executive Designate)	2r.1	Align the annual audit programme within the overall improvement framework	Dave Smith (Chief Executive Designate) Keith Beardmore	31/03/09	New action	N	September 08 update Risk and action deleted as superseded by 2a	d Deleted
2s	CIO3/9 Failure to deliver CPA improvement and prepare for CAA	1. Failure to use external inspection and assessment to assist improvement	1. CPA action planning CAA roadmap 2. Direction of Travel self assessment	5	2	10	Dave Smith (Chief Executive Designate)	2s.1	Develop and resource CAA action plan and council improvement priorities	Dave Smith (Chief Executive Designate)	31/10/08	New action	N	September 08 update Risk and action deleted as superseded by 2a	d Deleted
								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 (Chief Executive Designate)	31/12/08	Previously action 2a.5. Overall framework being developed around National performance indicators.	T	September 08 update Risk and action deleted as superseded by 2a	d Deleted
								2s.3	Identify the new actions required to support the comprehensive area assessment (CAA risk based approach)	Dave Smith (Chief Executive Designate)	31/12/08	Previously action 2a.6. CAA road map to be developed.	T	September 08 update Risk and action deleted as superseded by 2a	d Deleted
								2s.4	Resource and target Councils improvement programme to address unsatisfactory areas in assessment reports	Dave Smith (Chief Executive Designate)	31/12/08	Previously action 2a.7	T	June 08 update Action completed by target date (30/04/08).	C

CI04 Failure to improve partnership Working to deliver 'One City'															
2w	CI04/4 Failure to improve the City's image	1. Reputation of the City declines	1. Sunderland marketing group 2. Sunderland Vision	4	3	12	Dave Smith (Chief Executive Designate)	2w.1	Roll out the City Marketing Strategy	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target	T
2j	CI02/4 Failure to Improve Council communications	1. Failure to engage with residents influence perceptions and satisfaction	1. Image strategy 2. Sunrise	4	3	12	Dave Smith (Chief Executive Designate)	2j.1	Ensure image strategy and council communications effectively communicate achievements and progress to all stakeholders	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target	T
2n	Failure to effectively engage with the Regional Improvement and Efficiency Partnership. (RIEP)	1. Failure to utilise regional experience/ guidance to develop customer services	1. EMT	3	2	6	Dave Smith (Chief Executive Designate)	2n.1	Ensure all workstreams of RIEP are supported and opportunities for Sunderland are maximised	Dave Smith (Chief Executive Designate)	31/12/09			September 08 update New action	N
Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP3, CCP4, CI01, CI02, CI03, CI04															

Profile 3 Physical Regeneration Activity

Council priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
3a	No long term citywide vision in place for physical regeneration	1. Failure to optimise regeneration and development opportunities which leads to an inability to prioritise work and effort effectively. 2. Sunderland's competitive status across the North East would weaken resulting in potential reduced external funding and lessened market development interest. 3. Inability to help stem outward migration. 4. General decline of city circumstances. 5. Failure to co-ordinate the physical regeneration activity successfully. 6. Unable to implement City Centre vision and ambition.	1. ARC Delivery Plan 2. Local Development Framework 3. Regional Spatial Strategy 4. Sunderland Strategy	5	3	15	Phil Barrett (Director of D&R)	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. Align physical regeneration activities (incorporating the arc Business Plan) with the strategic vision to be set out in the Economic Development Masterplan	Phil Barrett (Director of D&R)	31/03/08 30/09/08 31/01/10	Action delayed. Target date changed from 31/03/08 to 30/09/08. 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 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	September 08 update Action delayed. Target date changed from 30/09/08 to 31/01/10. Action reworded to reflect current situation. Economic Development Masterplan to be developed and regeneration activities will be aligned with this vision. A Sunderland arc Working Group and a Steering Group have been established to feed information into the work of the Economic Development Masterplan. New actions 3a.7 & 3a.8 cover work proceeding in the interim.	D
								3a.4 Following initial study, further consideration be given to the LABV (detailed information/requirements etc to be provided).	Phil Barrett (Director of D&R)	31/12/08 (Phase 2)	New action	N	September 08 update Action delayed. The target date will need to be revisited and agreed. This work is on hold at present although we are currently assessing all of our land, property and assets as part of other programmes of work. We will need to see how the LABV fits with the overall Economic Development Masterplan as a delivery mechanism.	D
								3a.5 Procurement of Investment Partners and implementation of LABV.	Phil Barrett (Director of D&R)	31/07/09 (Phase 3)	New action	N	September 08 update Action delayed. The target date will need to be revisited and agreed. Dependent on completion of action 3a.4	D
								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 TBC	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	September 08 update Action delayed. Awaiting new target date. Await decision on how we are going to proceed with LABV/ Local Housing Company (LHC) in relation to supporting the Economic Development Masterplan.	D
								3a.7 Support the delivery of the Sunderland arc Business Plan	Phil Barrett (Director of D&R)	31/12/12			September 08 update New action.	N
								3a.8 Develop detailed plans for key priority projects (showing key milestones and activities)	Phil Barrett (Director of D&R)	31/12/08			September 08 update New action.	N
3c	There is a risk of a potential shift in powers and delegation away from the Local Authority (for transport).	1. Planned Local Transport Act will remove responsibility for preparing Local Transport Plan from council to the proposed Integrated Transport Authority (ITA, currently PTA)	1. Council represented on the City Region Transport (officer advisory) Group. 2. Council is influencing the City Region transport governance arrangements through its membership of the City Region Executive Board. 3. Council seeking to ensure representation on the proposed ITA.	5	3	15	Phil Barrett (Director of D&R)	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	September 08 update Action on target.	T

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP5, CCP1, CCP2, CCP3, CI03, CI04

Profile 6 Outcomes for Children and Young People

Council Priority = **MEDIUM**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
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	Dr Helen Paterson (Director of Children's Services)	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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
								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 (profile 2007/08)	N	September 08 update Action on target.	T
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	Dr Helen Paterson (Director of Children's Services)	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	September 08 update Action on target.	T
								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	September 08 update Action on target.	T
								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	September 08 update Action on target.	T
								6g.4	Secure procurement capacity and skills to support procurement commissioning	Dr Helen Paterson (Director of Children's Services)	31/03/09			September 08 update 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 (APA) Framework 2. GONE Field Forces 3. Children's Trust monitoring of post JAR action plan 4. Business Process Review 5. I&DEA peer review 6. Monthly monitoring by CSLT of post JAR action plan	5	2	10	Dr Helen Paterson (Director of Children's Services)	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	September 08 update Action on target.	T
								6h.2	Implement recommendations from Business Process review of the Initial Response Team (IRT) and of Improvement and Development Agency (I&DEA) peer review.	Dr Helen Paterson (Director of Children's Services)	31/03/09	New action	N	September 08 update Action on target.	T

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	8	Dr Helen Paterson (Director of Children's Services)	6i.1	Secure stronger links between the Children's Trust and the Local Strategic Partnership by sharing membership and	Dr Helen Paterson (Director of Children's Services)	31/03/09	New action	N	September 08 update Action on target.	T
								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	Action on Target. Previously action 6a.2 (profile 2007/008)	T	September 08 update Action on target.	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	September 08 update Action on target.	T
								6i.4	Implement Risk and Resilience Strategy to improve sexual health, reduce teenage pregnancy and reduce substance misuse in children and young people.	Dr Helen Paterson (Director of Children's Services)	31/09/11			September 08 update 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	Dr Helen Paterson (Director of Children's Services)	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	September 08 update Action on target.	T
								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	September 2008 update Action on target.	T
								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	September 2008 update Action on target.	T
								6j.4	Roll out of Continuous Professional Development (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	September 2008 update Action on target.	T
								6j.5	Undertake TUPE process for staff affected by the Wave 1 and wave 2 BSF/Academies programme	Dr Helen Paterson (Director of Children's Services)	31/03/11	New action	N	September 2008 update Action on target.	T
								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	September 2008 update Action on target.	T
								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	September 2008 update Action on target.	T
								6j.8	Review of school places	Dr Helen Paterson (Director of Children's Services)	31/03/09	New action	N	September 08 update Action on target.	T
								6j.9	Develop and implement proposals for school places	Dr Helen Paterson (Director of Children's Services)	31/03/10	New action	N	September 08 update Action on target.	T

Strategic priorities/ CIP Links: SP1, SP2, SP4, SP5, CCP1, CCP2, CCP4, CI01, CI02, CI03, CI04

Profile 8 Programmes/ Projects

Council Priority = MEDIUM

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status								
8a	Failure to further develop the corporate approach to programme and project management	1. Failure to successfully deliver projects	1. Directorate Link Officers (DLO) have been nominated in each directorate, these officers are responsible for co-ordinating project management in their directorates. 2. Managing Successful Programmes (MSP) training.	3	3	9	Dave Smith (Chief Executive Designate)	8a.1	Review remit and role of Project Management Methodology Working Group	Dave Smith (Chief Executive Designate)	31/03/08 31/07/08	Action delayed. Target date changed from 31/03/08 to 31/07/08.	D	September 08 update Action completed by target date (31/07/08).	C						
								8a.3	Council wide register of projects to be compiled	Dave Smith (Chief Executive Designate)	31/03/08 30/09/08 31/03/09	Action delayed. Target date changed from 31/03/08 to 30/09/08.	D	September 08 update Action delayed. Target date changed from 30/09/08 to 31/03/09. Delayed due to the complexity of defining projects and gathering the appropriate information.	D						
								8a.4	Carry out analysis of register to identify a common governance approach	Dave Smith (Chief Executive Designate)	31/12/08 30/09/09	Action on target. To be carried out when register is completed	T	September 08 update Action delayed. Target date changed from 31/12/08 to 30/09/09 Delayed as the registers of projects are not yet complete.	D						
								8a.5	Further development of PPM intranet site	Dave Smith (Chief Executive Designate)	30/09/08	Action on target	T	September 08 update Action completed prior to target date (30/09/08)	C						
								8a.6	Develop terms of reference and set up new group to incorporate work carried out by the PMMWG and E-group	Dave Smith (Chief Executive Designate)	31/03/09			September 08 update New action.	N						
								8a.7	Consider moving to a Portfolio approach to programmes and projects to provide a corporate overview	Dave Smith (Chief Executive Designate)	30/04/09			September 08 update New action	N						
								Review areas below to identify opportunities for improvement.													
								8a.6 (i)	Business Analysis Business re engineering	Dave Smith (Chief Executive Designate)	30/12/08	New action	N	September 08 update Action on target.	T						
								8a.6 (ii)	Resource planning	Dave Smith (Chief Executive Designate)	30/09/08	New action which superseded actions 8b.2 and 8b.3	T	September 08 update Action completed prior to target date (30/09/08)	C						
								8a.6 (iii)	Stakeholder identification and analysis	Dave Smith (Chief Executive Designate)	30/12/08	New action	N	September 08 update Action on target.	T						
								8a.6 (iv)	Identification, ownership and realisation of benefits	Dave Smith (Chief Executive Designate)	30/12/08	New action	N	September 08 update Action on target.	T						
								8a.6 (v)	Project review procedures	Dave Smith (Chief Executive Designate)	30/12/08	New action	N	September 08 update Action on target.	T						
								8a.6 (vi)	Review documentation to ensure it addresses appropriate issues e.g. sustainability, Section 17 Crime and Disorder Act.	Dave Smith (Chief Executive Designate)	30/06/09			September 08 update New action	N						
								8b	Lack of capacity and skills to deliver diverse portfolio projects/ programmes	1. Inability to effectively deliver and manage change.	1. Over 350 officers have attended the Council's project management training 2. Approximately 70 officers are qualified PRINCE2 practitioners 3. Leadership Programme	4	4	16	Dave Smith (Chief Executive Designate)	8b.4	Directorates to review their Project Management skills and capacity	Dave Smith (Chief Executive Designate) and all Directors	31/12/08	New action	N
8b.5	Promote the value of skilled and experienced in-house Project Managers.	Dave Smith (Chief Executive Designate)	31/07/08	New action	N	September 08 update Action completed by target date (31/07/08)	C														
8b.6	Review training framework for project and programme management to ensure it delivers the appropriate skills and competencies e.g. Prince 2 reaccreditations	Dave Smith (Chief Executive Designate)	30/06/09			September 08 update New action	N														
8c	Failure to obtain value for money from consultants and agency workers	1. Ineffective use of resources	1. Constitution (Appendix to Contract Procedural rules Procurement Strategy	3	3	9	Dave Smith (Chief Executive Designate)	8c.3	PPO and Corporate procurement to review guidelines for the procurement of consultants/ agency workers and consider a framework agreement.	Dave Smith (Chief Executive Designate)	31/12/08	On target	T	September 08 update Action on target.	T						

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP4, CI01, CI02, CI03, CI04

Profile 9 ICT

Council Priority = MEDIUM

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
9a	Failure of ICT to act as an enabler to business requirements	1. Council vision not delivered. 2. Incompatibility both of council-wide and of city-wide systems, meaning that effectiveness of council and partnership are limited.	1. CIP MTFS Partnership working evidenced through sound track record of community ICT projects. 2. Inside the council, acceptance - in the main of ERP thinking.	5	3	15	Dave Smith (Chief Executive Designate)	9a.1	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 (Chief Executive Designate)	31/03/08 31/12/08 31/03/09	Action delayed. Target date changed from 31/03/08 to 31/12/08. Work on the BIP has helped to inform the business strategy.	D	September 08 update Action delayed. Target date changed from 31/12/08 to 31/03/09. Initial work to develop strategy completed. Assisting Directorates to complete Road Maps and these will inform completion of Corporate Strategy.	D
								9a.3	Directorates to produce ICT service road maps (development plans) and ensure they are compatible with the Corporate ICT Strategy	Dave Smith (Chief Executive Designate) 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	September 08 update Action on target.	T
								9a.4	Identify ICT infrastructure and security required (to be maintained and improved) to support the improvement agenda and other ICT developments	Dave Smith (Chief Executive Designate)	31/03/08 31/03/09	Action delayed. Target date changed from 31/03/08 to 31/03/09. Previously 9a.2. Action to be completed following the production of ICT strategy.	D	September 08 update Action on target.	T
								9a5	Identify additional ICT skills required to deliver the corporate ICT strategy and directorate road maps.	Dave Smith (Chief Executive Designate)	31/03/09	New action to be completed following the production of ICT strategy. Review target date in Sept 2009.	N	September 08 update Action on target.	T
								9a6	Ensure IT strategy takes into account requirements for partnership working	Dave Smith (Chief Executive Designate)	31/03/09			September 08 update New action	N
								9d	Inability to restore all ICT systems	1. Failure to deliver critical council services.	1. 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	Dave Smith (Chief Executive Designate)
9d.2	Conduct gap analysis to measure level of compliance with BCM elements of ISO 27001.	Dave Smith (Chief Executive Designate)	30/12/08	New action	N	September 08 update Action completed prior to target date (30/12/08)	C								
9d.3	Deliver an action plan to address gaps	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target	T								
9g	Failure to obtain maximum benefits from the Digital Challenge Programme	1. Failure to achieve all of the project benefits 2. Negative impact on reputation	1. Programme steering group established at partnership level 2. PID includes Communication and Programme Quality Plan	3	2	6	Dave Smith (Chief Executive Designate)	9g.2	Deliver Digital Challenge Programme Plan	Dave Smith (Chief Executive Designate)	Ongoing	New action	N	September 08 update Action on target.	T
								9g.3	Review communication plan to raise awareness and importance/ success of digital	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T
9h	Failure to prevent uncontrolled development of IT systems	1. 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.	1. Current ICT strategy and information governance policy 2. Risk raised with the ICT Risk Management Working Group.	5	4	20	Dave Smith (Chief Executive Designate)	9h.1	Develop and agree Corporate protocols for IT development.	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T
								9h.2	Consider use of audit tools to ascertain and control usage including use of all removable / portable media types.	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target	T
								9h.3	Investigate systems to prevent unauthorised downloading of data.	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP3, CCP4, CI01, CI02, CI03, CI04

Profile 10 Inclusive Communities

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
10a-a	Failure to create an inclusive community	1. Not all Sunderland communities are able to take advantage of the many positive opportunities that are available in the city. 2. Potential increase in tension between communities	1. Community cohesion working group set up under the umbrella of the Local Strategic Partnership (LSP); its membership comprises representatives from Council, University, Gentoo and job centres. 2. 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). 3. Community Cohesion Officers Groups established within the council with reps from all directorates.	5	4	20	Dave Smith (Chief Executive Designate)	10a-a.2	Ensure appropriate resources are available to deliver action plan.	Dave Smith (Chief Executive Designate)	30/04/08	Action on target	T	June 08 update Action completed by target date (30/04/08). Risk closed.	C
10a-b	The Council fails to deliver the objectives of the Corporate Community Development Plan	1. We fail to secure a robust and sustainable funding relationship across the council, partners and Voluntary & Community Sector (VCS). 2. Communities fail to become 'fit-for-purpose' failing to effectively deliver their objectives and fully meet the objectives and outcomes of the Sunderland Strategy	1. Corporate Working Group (VCS Support)	3	3	9	Paul Dobson (Director of C&CS)	10a-b.1	Develop and agree a Corporate Community Development Plan that includes SMART actions for delivery	Paul Dobson (Director of C&CS)	04/03/08 31/07/08 31/12/08	Action delayed. Target date changed from 01/03/08 to 31/07/08. Draft Corporate Community Development Plan now with the Corporate Working Group.	D	September 08 update Action delayed. Target date changed from 31/07/08 to 31/12/08. Additional requirement to develop the Corporate Community Development Plan within the context of Inclusive Communities. Working with Office of Chief Executive to develop this requirement which will add stronger context to the plan in relation to the cross-cutting theme of Inclusive Communities.	D
10a-c	Failure to achieve Community Cohesion	1. 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 violent extremism		5	4	20	Dave Smith (Chief Executive Designate)	10a-c.1	Develop Community Cohesion Strategy to include actions and targets to address the following areas:	Dave Smith (Chief Executive Designate)	31/03/08 31/12/08	Action delayed. Target date changed from 31/03/08 to 31/12/08. Action previously 10a-a.1.	D	September 08 update Action on target.	T
								10a-c.2	Citizens sense of belonging	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T
								10a-c.3	Tackling Deprivation	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T
								10a-c.4	Addressing intergenerational tensions	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T
								10a-c.5	Valuing diversity	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T
								10a-c.6	Review delivery of ARCH to include other types of Hate related incidents	Dave Smith (Chief Executive Designate)	30/09/09			September 08 update New action	N
								10a-c.7	Resource dedicated staff time to support Independent Advisory Groups (IAGs).	Dave Smith (Chief Executive Designate)	30/09/09			September 08 update New action	N
10a-d	Failure to effectively consult and engage with the community	1. Failure to identify the needs of the various elements of the community which leads to further isolation. 2. Not all of Sunderland's residents are able to contribute fully to the life of the City	1. Corporate Consultation Strategy. 2. Hard to Reach Framework 3. Corporate Consultation Group	5	2	10	Dave Smith (Chief Executive Designate)	10a-d.1	Identify opportunities to appropriately involve people in decision making by producing a delivery plan for the Community Engagement Strategy	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T
10b-a	Failing to achieve equality standards.	1. Breach of discrimination legislation 2. Reputational impact 3. Not all of Sunderland's residents are able to contribute fully to the life of the City	1. Corporate Equality Steering Group 2. Corporate Equality scheme 3. Directorate Equality Plans 4. Council's Race, Disability and Gender Equality Schemes. 5. Employee Consultative groups 6. Formalised reporting routes to Cabinet via Regeneration and Community Review Committee.	4	2	8	Dave Smith (Chief Executive Designate)	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 (Chief Executive Designate)	31/12/07 31/12/08	Action delayed. Target changed from 31/12/07 to 31/12/08. Previously action 10b-a.2. Level 4 plans continue to be developed, pending external verification of level 3.	D	September 08 update Action completed by target date (31/12/08)	C
								10b-a.4	Provide evidence to satisfy external verification of level 3	Dave Smith (Chief Executive Designate)	01/07/08	New action	N	June 08 update Action on target to meet external verification in July 2008. September 08 update Action completed by target date 01/07/08).	C
								10b-a.5	Achieve self assessment of level 4 (external verification not required for level 4)	Dave Smith (Chief Executive Designate)	30/04/09			September 08 update New action	N

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP3, CCP4, CI01, CI02, CI03, CI04

Profile 12 Human Resources

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
12a	High volume of equal pay claims that can not be successfully defended	1. Very significant financial implications 2. Disruption to employee relations 3. Damage to reputation as employer.	1. Single Status Project Plan. 2. Job evaluation carried out for phase one	5	3	15	Dave Smith (Chief Executive Designate)	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 decision	31/03/08 31/03/09 31/03/10	Action delayed. Target date changed from 31/03/08 to 31/03/09. Tribunal decision awaited July 2008.	D	September 08 update Action delayed. Target date changed from 31/03/09 to 31/03/10. Tribunal has divided cases into 3 areas 1) Alleged discrimination prior to Oct 2005 2) Allegation that phase 1 job evaluation is discriminatory 3) Allegation that pay protection and job enrichment are discriminatory Decisions on 1&2 expected in 2009 with 3 following in 2010.	D
								12a.2	Monitor the implementation of the agreed changes to roles and responsibilities of job enrichment	31/03/09	New action	N	September 08 update Action on target.	T
12b	Failure to resolve or prevent equal pay situations (including Phase 2) that bring about a potential liability	1. Continuing liability to equal pay claims	1. Single Status Project Plan. 2. Job evaluation carried out for phase one 3. Options appraisal for phase 2	4	3	12	Dave Smith (Chief Executive Designate)	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	30/09/08	On target for annual survey in August	T	September 08 update Action completed prior to target date (30/09/08)	C
								12b.4	Following approval by EMT develop action plan for delivery of Phase 2	31/03/09	New action	N	September 08 update Action on target.	T
12c	Failure to maintain staff morale and engagement during major change	1. Reduced productivity 2. Performance 3. Staff retention 4. Satisfaction levels	1. Information on website 2. Biennial Employee Survey	3	3	9	Dave Smith (Chief Executive Designate)	12c.2	Directorate, Employee Wellbeing action plans to be reviewed following HSE Audit	31/03/09	New action	N	September 08 update Action on target.	T
12d	Breach of Employment related laws e.g. Health & Safety, Discrimination	1. Legal Liability 2. Financial implications 3. Damage to reputation as an employer	1. Appropriate policies in place	4	2	8	Dave Smith (Chief Executive Designate)	12d.1	Review functional structure to ensure compliance with all employment related laws by clear policies and procedures and skills training.	31/03/08 31/12/08	Action delayed. Target date changed from 31/03/08 to 31/12/08. HR Payroll phase 2 on hold and action revised to review functional structure.	D	September 08 update Action on target.	T
12i	HR resource does not support organisations improvement agenda	1. Legal Liability 2. Financial implications 3. Damage to reputation as an employer	1. Appropriate policies in place	4	2	8	Dave Smith (Chief Executive Designate)	12i.1	Review functional structure to align the HR resource with the Council's Improvement Agenda.	31/12/08			September 08 update New risk and action.	N
								12i.2	Review HR strategy so that it supports the organisations improvement agenda	30/06/09			September 08 update New risk and action.	N
12g	Lack of quality HR performance data to inform management decisions	1. Poor decision making	1. Use of HR payroll system as currently developed	4	3	12	Dave Smith (Chief Executive Designate)	12g.1	Development of HR payroll phase 2 to provide further accurate management information	31/03/09 TBC	New action	N	September 08 update Action delayed. Project delayed awaiting clarification of start date to inform new target date	D
12h	Lack of skills and capacity to deliver council services	1. Failure to deliver high level of customer service.	1. Recruitment and selection process and policy.	4	3	12	Dave Smith (Chief Executive Designate)	12h.1	Produce a Review the workforce development plan	31/03/09	New action	N	September 08 update Action on target.	T
								12h.2	Review recruitment policies with a view to attract and retain skills (to compete with market forces)	31/03/09	New action	N	September 08 update Action on target.	T
								12h.3	Review draft pay and reward strategy	30/06/09			September 08 update New action.	N
								12h.4	Review use of apprentices	30/06/09			September 08 update New action.	N
								12h.5	Directorates to review the use of agency workers	30/06/09			September 08 update New action.	N
12i	Lack of succession planning across the council	1. Loss of corporate memory, continuity.	1. Written procedures and protocols 2. Business continuity planning	4	3	12	Dave Smith (Chief Executive Designate)	12i.1	Develop a corporate succession planning strategy	31/03/09	New action	N	September 08 update Action on target.	T

12j	Failure to adequately manage stress	1. Increased sickness absence 2. Reduced staff morale 3. Reduced productivity 4. Employers liability claims	1. Mental health & well-being policy 2. Stress survey and analysis 26/09/08: Risk likelihood changed from 4 to 3 following work carried out in this area.	4	3	12	Dave Smith (Chief Executive Designate)	12j.1	Following visit of HSE, any recommended actions to be scoped into project	Dave Smith (Chief Executive Designate)	31/12/08	Previously action 13e.2. On target. Corporate strategy for Managing Work Related Stress adopted. HSE audit delayed	T	September 08 update Action on target.	T
								12j.2	Identify any correlation between stress related absence and management practices and cultural issues as identified in employee survey.eg bullying or harassment	Dave Smith (Chief Executive Designate)	31/12/08	New action	N	September 08 update Action on target.	T
12k	Significant bullying and harassment issues	1. Increased sickness absence 2. Reduced staff morale 3. Reduced productivity 4. Negative impact on reputation	1. Bullying and Harassment policy 2. Stress survey and analysis 3. Revised staff survey	3	2	6	Dave Smith (Chief Executive Designate)	12k.2	Analysis of staff survey to be undertaken to inform mitigating actions and policy reviews	Dave Smith (Chief Executive Designate)	31/03/08 31/12/08	Action delayed. Target date changed from 31/03/08 to 31/12/08. Previously action 13f.2.	D	September 08 update Risk and action deleted as superseded by 12.j.2	Deleted
Strategic priorities/ CIP Links: SP1, CCP1, CI01, CI02, CI03															

Profile 13 Attendance Management

Council Priority = HIGH

ID	Risks	Impact	Current Controls	Impact	Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
13a	Failure to reduce sickness absence	1. Reduced productivity 2. Increased costs 3. Increased pressure on remaining staff 4. Poor CPA rating 5. Reputational risk. 6. Major problem for HHA and CS	1. Targets to reduce the rate of unplanned absence. 2. Absence Management Policy 3. CARE LINE. 4. Occupational Health Unit 5. Stress Management Standard 6. Employee Survey	4	4	16	Dave Smith (Chief Executive Designate)	13a.3	Long term absence cases to be individually reviewed to ensure that policies/ procedures have been complied with.	Dave Smith (Chief Executive Designate)	Annual	New action	N	September 08 update Action on target.	T
								13a.4	Implement the Improving Attendance Project as part of the BIP	Dave Smith (Chief Executive Designate)	30/06/09		September 08 update New action.	N	
13b	The data quality regarding sickness absence figures is not robust	1. Qualified attendance management figures 2. Impact upon CPA	1. Monthly sickness report to be verified by managers 2. BIP Project for attendance management	4	4	16	Dave Smith (Chief Executive Designate)	13b.2	Test system to establish quality of data provided	Dave Smith (Chief Executive Designate)	31/03/08 31/12/08	Action delayed. Target date changed from 31/03/08 to 31/12/08. Sampling of BVPIs data to be undertaken in May 08.	D	September 08 update Action on target.	T
13d	Failure to implement HR policies to support attendance management	1. Inconsistent and inappropriate approach to attendance management	1. Appraisal process 2. BIP Project for attendance management	4	3	12	Dave Smith (Chief Executive Designate)	13d.2	Provide appropriate skills and training to managers by roll out of e-learning attendance management training	Dave Smith (Chief Executive Designate)	30/09/08 30/06/09	New action	N	September 08 update Action on target.	T
								13d.3	Directorates to ensure that managers implement attendance management policies	Dave Smith (Chief Executive Designate) Lead / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore / Bob Rayner (All Chief Officers)	30/06/09		September 08 update New action.	N	
Strategic priorities/ CIP Links: SP1, SP3, CCP1, CCP3, CCP4, CI01, CI02, CI03, CI04															

Profile 15 Health, Housing and Adult Services

Council Priority = HIGH

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
Failure to deliver the key outcomes for the Directorate															
15g	Failure to achieve Aim 1 of the 15 year Adult Social Care Strategy : Choice & Control	1. Failure to deliver; care management & assessment/ care brokerage/ self-directed support/ transitions/ risk & choice and safeguarding from harm, abuse and stigma	1. Three year delivery plans with annual review/ refresh	5	2	10	Neil Revely (Director of HHAS)	15g.1	Respond to Consultation document "Valuing People Now"	Neil Revely (Director of HHAS)	31/03/08	New action	N	June 08 update Action completed by target date (31/03/08).	C
								15g.2	BIP project Phase 1 delivered (Improving the customer journey for major/minor adaptations)	Neil Revely (Director of HHAS)	01/07/08	New action	N	June 08 update Action on target.	C
15h	Failure to achieve Aim 2 of the 15 year Adult Social Care Strategy: Independent Living	1. Failure to provide intensive support for independent living at home/ developing homes for life/ reducing risk of homelessness	1. Three year delivery plans with annual review/ refresh	5	2	10	Neil Revely (Director of HHAS)	15h.1	Implementation of Resettlement Project (supporting OP modernisation agenda)	Neil Revely (Director of HHAS)	31/12/09	New action	N	September 08 update Action on target.	T
								15h.2	Develop action plan and agreements between RSLs and Council	Neil Revely (Director of HHAS)	31/12/08	New action	N	September 08 update Action on target.	T
								15h.3	Homes for Life project Site 1 (Leonard House)	Neil Revely (Director of HHAS)	31/05/09	New action	N	September 08 update Action on target.	T
								15h.4	Homes for Life project Site 2 (Woodlands)	Neil Revely (Director of HHAS)	30/11/09	New action	N	September 08 update Action on target.	T
								15h.5	Homes for Life project Site 3 (Moor House)	Neil Revely (Director of HHAS)	31/05/10	New action	N	September 08 update Action on target.	T
15i	Failure to achieve Aim 3 of the 15 year Adult Social Care Strategy: Equal access for all	1. 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	1. Three year delivery plans with annual review/ refresh	5	2	10	Neil Revely (Director of HHAS)	15i.1	Develop implementation plan	Neil Revely (Director of HHAS)	30/09/08	New action	N	September 08 update Action on target.	T
15j	Failure to achieve Aim 4 of the 15 year Adult Social Care Strategy: Improving health & well being	1. Failure to develop low level prevention strategies or joint work with health - complex conditions	1. Three year delivery plans with annual review/ refresh	5	2	10	Neil Revely (Director of HHAS)	15j.1	Plan integration with other council services delivering shared services e.g. wellness	Neil Revely (Director of HHAS)	31/12/08	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	September 08 update Action on target.	T
								15j.2	All Partnerships to agree main objectives / outcomes for 2008/09 and beyond	Neil Revely (Director of HHAS)	31/05/08 31/03/09	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	June 2008 update Action delayed. Target date changed from 31/05/08 to 31/03/09. The project which was set up to review partnerships began in May 2008. The review of existing partnerships will be completed by March 2009. There is a verbal commitment from Partners to review the partnerships via their 3 year delivery plans. September 08 update Action on target.	T
								15j.3	Completion of 50+ strategy - Phase 2	Neil Revely (Director of HHAS)	30/09/08	New action	N	September 08 update Action on target.	T
								15j.4	50+ Strategy Phase 2 adopted by Partners	Neil Revely (Director of HHAS)	31/12/08	New action	N	September 08 update Action on target.	T
15k	Failure to achieve Aim 5 of the 15 year Adult Social Care Strategy: Better Commissioning	1. Failure to develop robust needs assessments/ care pathways & specifications/ better procurement solutions/ improving monitoring & evaluation for commissioning/ managing the market	1. Three year delivery plans with annual review/ refresh	5	2	10	Neil Revely (Director of HHAS)	15k.1	Appointment of deputy Health Director for new Directorate to ensure vision is achieved	Neil Revely (Director of HHAS)	01/01/09	New action	N	September 08 update Action completed (31/07/08).	C
								15k.2	Develop implementation plan	Neil Revely (Director of HHAS)	31/03/09	New action	N	September 08 update Action on target.	T

15l	Failure to achieve Aim 6 of the 15 year Adult Social Care Strategy: Managing the resources, including with Partners	1. Failure to manage change/ workforce development/ finance/ commissioning 2. Failure to develop performance & governance arrangements, including outcomes for individuals 3. Failure to develop ICT & info management solutions 4. Failure to develop image & communications strategy 5. Failure to maximise partnership working including area -based & diversity based solutions	1. Three year delivery plans with annual review/ refresh	5	2	10	Neil Revely (Director of HHAS)	15l.1	Implement new Directorate structure to General Manager level	Neil Revely (Director of HHAS)	30/06/08	New action	N	June 08 update Action completed by target date (30/06/08).	C
								15l.2	Implement new Directorate structure to next (below GM)	Neil Revely (Director of HHAS)	31/12/08	New action	N	September 08 update Action completed (30/09/08)	C
								15l.3	Training Needs Analysis / skills audit completed	Neil Revely (Director of HHAS)	31/12/08	New action	N	September 08 update Action on target.	T
								15l.4	Develop a Workforce Development plan (that includes Private Sector Partners)	Neil Revely (Director of HHAS)	31/03/09	New action	N	September 08 update Action on target.	T
								15l.5	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	June 08 update Action completed by target date (30/04/08). Three year delivery plan has been agreed. Project summaries have been agreed and a high level time line completed for all projects. 5 year Housing Strategy and Action Plan has been agreed.	C
								15l.6	Deliver staffing objectives for Older People Modernisation Agenda (correct number of staff in place with appropriate qualifications - NVQs)	Neil Revely (Director of HHAS)	31/03/09 30/06/11	New action	N	September 08 update Action delayed. This is 1 of the projects within the 3 year implementation plan to deliver the 15 year Directorate vision. As such, the Target Date changed from 31/03/09 to the 30/06/11. Work has begun on this by looking at the internal management structure.	D
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	1. Failure to improve the choice of type, location and price to meet 21st Century aspirations and demands which will reverse trends of outward migration	1. Delivery plan with annual review/ refresh 2. Monitoring through Regeneration and Review committee/ Strategic Housing Partnership	5	2	10	Neil Revely (Director of HHAS)	15m.1	Carry out a Local Housing Market Assessment (LHMA) which will provide information on the housing market in	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/03/08	HHAS update: Assessment has been completed and the final report is due March 08 Previously action 14a.1	T	June 08 update Action completed by target date (31/03/08). Final report has been received.	C
								15m.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	HHAS update: Awaiting the final report to progress this action. Previously action 14a.2	T	September 08 update Action on target.	T
								15m.3	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	Action delayed. Target date changed from 31/03/08 to 30/09/08. 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. c/f from 07/08 profile. Previously action 14a.7	D	September 08 update Action on Target.	T
								15m.4	Approval of the Housing Market Assessment report	Neil Revely (Director of HHAS) / Phil Barrett (Director of D&R)	31/10/08			June 08 update New action September 08 update: Action on target.	T
15n	Failure to achieve Aspiration 2 of the 5 year Housing Strategy (2006 -2011): Quality and standard of Housing Create sustainable communities	1. Failure to Improve quality and standard of housing and ensure that sustainable communities are created	1. Delivery plan with annual review/ refresh 2. Monitoring through Regeneration and Review committee/ Strategic Housing Partnership	5	3	15	Neil Revely (Director of HHAS)	15n.1	Implement masterplans for Eppleton / Castletown to improve housing conditions in those areas	Neil Revely (Director of HHAS)	31/01/10 TBC	New action	N	September 08 update Action delayed. On 30/07/08, Cabinet approved the Joint Venture Funding Agreement for Castletown. A public consultation on the preferred regeneration masterplan for Castletown was held from 7 August until 10 September 2008. Delivery Partner for Castletown will be Gentoo. Still awaiting funding agreement from English Partnerships for Eppleton, was due April 08. Awaiting new target date from English Partnerships.	D
								15n.2	Implement Financial Assistance Policy	Neil Revely (Director of HHAS)	31/03/11	New action	N	September 08 update Action on target.	T

15o	Failure to achieve Aspiration 3 of the 5 year Housing Strategy (2006 -2011): Provision of accommodation and support for Sunderland's diverse population	1. Failure to provide accommodation and support which meets the needs of Sunderland's large and diverse population	1. Delivery plan with annual review/ refresh 2. Monitoring through Regeneration and Review committee/ Strategic Housing Partnership	5	2	10	Neil Revely (Director of HHAS)	15o. 1	Deliver review plan for Supporting People	Neil Revely (Director of HHAS)	30/09/08 30/11/08	New action	N	September 08 update Action delayed. Timescales have been reviewed and agreed with DMT. Work is progressing and key elements will be delivered by end Sept (Social Exclusion, Care & Support) and the remaining element (Independent Living) will follow Oct/Nov 08. An update report will be submitted to Cabinet Sept /Oct 08.	D
								15o. 2	New contracts with Supporting People to be implemented	Neil Revely (Director of HHAS)	31/03/09	New action	N	September 08 update Action on target	T
								15o. 3	Identify and implement actions to make Supporting People fit for purpose for LAA	Neil Revely (Director of HHAS)	30/04/09	New action	N	September 08 update Action on target.	T
								15o. 4	Implement Travellers Strategy	Neil Revely (Director of HHAS)	31/03/08 30/07/08	New action	N	June 08 update Action delayed. Target date changed from 31/03/08 to 30/07/08. Approval of Unauthorised Encampment Policy delayed. Require additional consultation with residents. September 08 update Action completed by target date (30/07/08).	C
								15o. 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 30/09/08	Action delayed. Target date changed from 31/03/08 to 30/09/08. 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	September 08 update Action completed by target date (30/09/08).	C
								15o. 6	Fully functional "Stopover" transit site for gypsies and travellers in place	Neil Revely (Director of HHAS)	28/02/09			September 08 update New Action.	N
								15o. 7	Fully functional permanent transit site for gypsies and travellers in place	Neil Revely (Director of HHAS)	28/02/09			September 08 update New Action.	N

Strategic priorities/ CIP Links: SP2, SP4, CCP1, CCP2, CCP3, CCP4, CI01, CI02, CI03, CI04

Profile 17 Building Schools for the Future (BSF)

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
17h	Current Council FM providers are not fully engaged in the procurement process for FM services	1. Loss of income across directorates resulting in overhanging costs. 2. Uncertainty of the future provision for FM. 3. Loss of service provision within schools. 4. Schools lose advice services attached to SLA's. 5. Job insecurity and low staff morale. 6. Reputational damage/ non BSF schools opt out of Council SLA's.	1. BSF Facilities Management Workstream with dedicated Project Manager for FM. 2. Corporate Group established under chairmanship of Senior Assistant City Treasurer. 3. High level meeting set for early December to agree council -wide approach on this issue.	4	2	8	Dr Helen Paterson (Director of Children's Services)	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 30/09/09	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	June 08 update Action delayed. Target date changed from 31/03/08 to 30/09/09. Further analysis is being undertaken to inform the options appraisal which will determine the most effective procurement solution. Progress to be reviewed at CRMG in September 2008. September 08 update Action now back on target.	T
17i	Failure for the Transformation Agenda to realise its potential and deliver raised educational attainment	1. Reduced educational attainment. 2. Negative impact on regeneration for the city 3. Loss of key skills	1. Transformation Plan in place	5	2	10	Dr Helen Paterson (Director of Children's Services)	17i.1 Link SEF and SIP to school visions	Dr Helen Paterson (Director of Children's Services)	Annual	New action	N	September 2008 update Action on Target.	T
								17i.2 Regular reviews of school visions	Dr Helen Paterson (Director of Children's Services)	Annual	New action	N	September 2008 update Action on Target.	T
17j	Design and build contractor does not deliver	1. Financial impact on the Council. 2. Programme delay. 3. Schools do not open on time. Political /reputational risk 4. Legal challenge from Lead Sponsors 5. Delays to ICT contractor resulting in compensation costs which are to be met by the Council	1. Project Team 2. Agreed Programme Plan 3. Contractual terms and conditions 4. PFS procedures and frameworks	5	2	10	Dr Helen Paterson (Director of Children's Services)	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	September 2008 update Action on Target.	T
17k	ICT Managed Service provider does not deliver	1. Financial impact on the Council. 2. Programme delay. 3. Schools do not open on time. 4. Legal challenge from Lead Sponsors 5. Delays to D&B contractor resulting in compensation costs which are to be met by the Council	1. Project Team 2. Agreed Programme Plan 3. Contractual terms and conditions 4. PFS procedures and frameworks	4	2	8	Dr Helen Paterson (Director of Children's Services)	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	September 2008 update Action on Target.	T
17l	Failure to take into account all relevant factors in developing wave 2 of the BSF programme	1. 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.	1. PFS framework 2. Project Team	4	2	8	Dr Helen Paterson (Director of Children's Services)	17l.1 Analyse the benefits and implications to the current BSF programme	Dr Helen Paterson (Director of Children's Services)	30/04/08	New action	N	June 08 update Action Completed by target date (30/04/08).	C
								17l.2 Complete the readiness to deliver Proforma	Dr Helen Paterson (Director of Children's Services)	30/04/08	New action	N	June 08 update Action completed by target date (30/04/08).	C
Strategic priorities/ CIP Links: SP1, SP3, SP4, SP5, CCP1, CCP2, CCP4, CI01, CI03, CI04														

Profile 19 External Funding

Council Priority = HIGH

ID	Risks	Impact	Current Controls	Impact	Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status
19b	Failure to maximise external funding to support strategic objectives	1. Resources are not acquired to support delivery of strategic objectives	1. Guidance issued by City Treasurer. 2. Technical services group within the City Treasurers provide advice and guidance 3. External Funding Protocol 4. Chief Executive's and other Directorates internal controls	4	3	12	Dave Smith (Chief Executive Designate)	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 (Chief Executive Designate)	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	September 08 update Action on target. Review carried out in April	T
19c	Failure to obtain long term value for money from secured external funding	1. Failure to achieve strategic objectives	1. Guidance issued by City Treasurer. 2. Technical services group within the City Treasurers provide advice and guidance 3. External Funding Protocol 4. Chief Executive's and other Directorates internal controls	4	3	12	Dave Smith (Chief Executive Designate)	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 (Chief Executive Designate)	31/03/08 31/12/08	Action delayed. Target date changed from 31/03/08 to 31/12/08. New Action incorporating previous actions 19a.1, 19a.2, 19a.4, 19a.5.	D	September 08 update Action on target.	T
19d	Failure to comply with external funding requirements thereby resulting in potential suspension or clawback of payments or withdrawal of grant	Financial loss. Reputational damage	1. Guidance issued by City Treasurer. 2. Technical services group within the City Treasurers provide advice and guidance 3. External Funding Protocol 4. Chief Executive's and other Directorates internal controls	4	3	12	Dave Smith (Chief Executive Designate)	19d.1 Senior and project managers to ensure that they: 1. Comply with City Council procedures for applying for, accepting and managing external funding 2. Fully understand compliance implications before signing funding offer letters 3. Ensure compliance with external funders' requirements 4. Comply with monitoring and verification requirements 5. Seek guidance from the Treasurer and Office of the Chief Executive as necessary	Dave Smith (Chief Executive Designate)	Annual			September 08 update New Action.	N

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP3, CCP4, CI01, CI02, CI03, CI04

Profile 20 Capital Strategy

Council Priority = HIGH

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
20a	Failure to optimise the benefits of effective asset management	1. Failure to make best use of assets and resources 2. Failure to achieve capital investment priorities and improved services. 3. Failure to reduce revenue costs and deliver capital receipts 4. Impact on CPA resources 5. Realisation of capital receipts	1. Capital Strategy 2. Capital Strategy Group. 3. Property Rationalisation Programme 4. Asset Management Plan. 5. Capital Boards in each Directorate 6. Strategic Property Board.	4	3	12	Dave Smith (Chief Executive Designate)	20a.8	Capital Strategy to be reviewed to take into consideration new National Guidance, Sunderland Strategy and Business Improvement programme	Dave Smith (Chief Executive Designate)	31/01/08 31/07/08 01/01/09	Action delayed. Target date changed from 31/01/08 to 31/07/08. Previously action 20a.6.	D	September 08 update Action delayed. New national guidance was published in Feb 08 as a Framework for Local Authority Asset Management. No work has been instigated on a review of the Capital Strategy as yet arising from the publication of the Framework. Issue to be raised at the Capital Strategy Group meeting.	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 (Chief Executive Designate)	31/12/07 31/07/08 25/09/08	Action delayed. 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	September 08 update Action delayed. Target date changed from 31/07/08 to 25/09/08. The revised Asset Management Plan has been prepared and will be taken to the next Capital Strategy Group 25/9/08 for approval of programme of work (sign off by EMT and Cabinet to follow in November). Once this has been agreed this action will be superseded by new actions 20a.11 to 20a.14	D
								20a.11	Delivery of the Property Maintenance Programme (to retain only fit for purpose property)	Phil Barrett (Director of D&R)	31/03/10		September 08 update New action.	N	
								20a.12	Delivery of the Capital Projects Programme (to develop facilities to support the City)	Phil Barrett (Director of D&R)	31/03/10		September 08 update New action.	N	
								20a.13	Delivery of the Energy Management Programme (to reduce energy consumption)	Phil Barrett (Director of D&R)	31/03/10		September 08 update New action.	N	
								20a.14	Delivery of the Property Rationalisation Programme (to challenge the property portfolio)	Phil Barrett (Director of D&R)	31/03/10		September 08 update New action.	N	
								20a.10	Asset Management Plan to be reviewed and rewritten	Dave Smith (Chief Executive Designate)	31/01/08 30/04/08 30/09/08	Action delayed. Target date changed from 31/01/08 to 31/04/08. Previously action 20a.6.	D	June 08 update Action delayed. Target date changed from 30/04/08 to 30/09/08. The Asset Management Plan has been written and is now available in draft form. Colin Clark will be taking this draft to the Capital Strategy Group on 26/06/08 for it to agree the format. Once agreed, this will then be taken to Cabinet in September, for sign off. September 08 update Action on target.	T

Strategic priorities/ CIP Links: SP1, SP2, SP5, CCP1, CCP3, CI01, CI03, CI04

Profile 21 Commissioning/ Procurement

Council Priority = High

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status							
21a	Fail to ensure that value for money is achieved through the procurement process (including Gershon efficiencies)	1. Failure to achieve value for money and achieve Gershon efficiency targets. 2. Breach of European tendering procedures	1. Procurement Strategy / Major Procurement Process 2. Cabinet report on Gershon efficiencies 3. Electronic Procurement System 4. Gershon Efficiency Targets	4	2	8	Keith Beardmore (City Treasurer)	21a.1	New Procurement Procedure Rules to be implemented in March 2007. Consider issuing version tailored to Schools.	30/04/08 30/04/09	Implementation of procedure rules not completed	T	June 08 update Action delayed. Target date changed from 30/04/08 to 30/04/09. The action has been delayed due to other priorities but the procurement rules will be issued to schools via a tailored version by 30/04/09. September 08 update Action on target.	T						
								Electronic procurement to be further developed to include the following:												
								21a.2 (i)	SAP SRM	Keith Beardmore (City Treasurer)	30/04/08 31/03/09 30/09/09	Action delayed. Target date changed from 30/04/08 to 31/03/09	D	September 08 update Action delayed. Target date changed from 31/03/09 to 30/09/09. e-marketplace not now considered to be viable SRM to be started in HHAS in November 2008 and in place in all Directorates by September 09	D					
								21a.2 (ii)	purchase cards.	Keith Beardmore (City Treasurer)	30/04/08 31/03/09	Action delayed. Target date changed from 30/04/08 to 31/03/09	D	September 08 update Action completed prior to target date (31/03/09).	C					
								21a.2 (iii)	e invoicing	Keith Beardmore (City Treasurer)	31/03/10	New action	N	September 08 update Action on target.	T					
								21a.2 (vi)	e tendering	Keith Beardmore (City Treasurer)	31/03/09	New action	N	September 08 update Action on target.	T					
21a.4	Ensure procurement of ICT takes into account BCM where appropriate.	Keith Beardmore (City Treasurer)	30/04/08 31/12/08	Code of practice to be developed	T	June 08 update Action delayed. Target date changed from 30/04/08 to 31/12/08. BCM risks to be identified in procurement checklist. Discussions ongoing with ICT regarding technical solutions for BCM. September 08 update Action on target.	T													
21b	Corporate Procurement Strategy fails to provide clarity around conflicting priorities	1. Negative impact on local SME's 2. Adverse impact on economic prosperity	1. Procurement Strategy / Major Procurement Process 2. Cabinet report on Gershon efficiencies	4	3	12	Keith Beardmore (City Treasurer)	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	31/03/09	New action	N	September 08 update Action on target.	T						
21c	Commissioning is undertaken without a corporate view	1. Directorates not aware of corporate capacity 2. Greater impact on Adults and Children's Services 3. Do not meet the expectations of the voluntary sector and the community 4. Additional resources	1. Procurement Strategy / Major Procurement Process 2. Cabinet report on Gershon efficiencies	4	3	12	Keith Beardmore (City Treasurer)	21c.1	Agree the process for developing a commissioning strategy and then report to EMT	31/03/09	New action	N	September 08 update Action completed by target date (31/03/09)	C						
								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		September 08 update Action on target.	T					
								21c.3	Address any conflicting issues between the Procurement and Commissioning strategies	Keith Beardmore (City Treasurer)	31/03/10			September 08 update New action.	N					
								21c.4	Service planning process to include commissioning principles	Keith Beardmore (City Treasurer)	30/06/09			September 08 update New action.	N					
								21c.5	Self evaluation process to be developed. The information will be used against agreed criteria leading to an improvement programme	Keith Beardmore (City Treasurer)	30/06/09			September 08 update New action.	N					

21d	Failure to identify and manage the corporate implications of the SAP module Supplier Relations Management (SRM) project	Failure to achieve corporate efficiency savings. Adverse effect on service delivery	Project Board. Project Plan	4	3	12	Keith Beardmore (City Treasurer)	21d. 1	Project Board to ensure that Directorates are ready to implement and achieve the benefits of the SRM system	Keith Beardmore (City Treasurer)	30/06/09		September 08 update New risk and action.	N
								21d. 2	Directorate to identify the impact of SRM on service delivery and manage appropriately	Keith Beardmore (City Treasurer) Lead / Dave Smith (Chief Executive Designate) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	30/06/09		September 08 update New risk and action.	N
Strategic priorities/ CIP Links: SP1, SP3, SP5, CCP1, CCP4, CI01, CI02, CI03														

Profile 22 Partnerships

Council Priority = High

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
22a	Failure to maximise benefits and opportunities of partnership working	1. Financial, service delivery and legal implications 2. Impact on CPA/ CAA 3. Miss opportunities to improve outcomes for the public	1. Annual Report on Significant Partnerships 2. 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 3. Register of Partnerships (online)	4	2	8	Keith Beardmore (City Treasurer)	22a.3	Continue to develop risk registers for partnerships.	Keith Beardmore (City Treasurer) Lead /Dave Smith (Chief Executive Designate) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	Annual	Registers developed for significant Partnerships.	T	June 08 update Action on target.	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	September 08 update Action on target.	T
								22a.5	Classification of Significant Partnerships to be reviewed	Keith Beardmore (City Treasurer)	Annually	New action	N	September 08 update Action on Target.	T
								22a.6	Review the effectiveness of process for inclusion of Partnerships in development	Keith Beardmore (City Treasurer)	31/07/08	New action	N	September 08 update Action completed by target date (31/07/08).	C
								22a.9	Redesign process and intranet site to identify Partnerships in development	Keith Beardmore (City Treasurer)	31/09/09			September 08 update New action.	N
								22a.7	Develop risk registers for any partnerships that become classified as significant	Keith Beardmore (City Treasurer) Lead / Dave Smith (Chief Executive Designate) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	Annually	New action	N	September 08 update Action on target.	T
22b	Failure to have a coordinated approach to the development of Partnerships and Partnership Officers	1. Fail to maximise opportunities presented by partnership working	1. Partnership Code of Practice	4	2	8	Dave Smith (Chief Executive Designate)	22b.1	Develop a core competencies and development programme for partnership managers	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target.	T
								22b.2	Consider arrangements for the co-ordination of partnership activities and compliance with the Code of Practice	Dave Smith (Chief Executive Designate)	31/03/09	New action	N	September 08 update Action on target.	T

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP3, CCP4, CI01, CI02, CI03, CI04

Profile 23 Information Management

Council Priority = MEDIUM

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
23a	Failure to have an effective information management system	1. Reduced standard of service delivery and breach of legislation FOI/ Data Protection	1. Information Governance Policy and Strategy. 2. The Council has produced its FOI publication scheme 3. Some controls and protocols exist, but there is no overarching process. 4. Council wide audit of data.	4	3	12	Dave Smith (Chief Executive Designate)	23a.2 Directorates to follow Council procedures to develop retention schedules	Bob Rayner (City Solicitor)	31/12/08	Work started	T	September 08 update Action completed prior to target date (31/12/08).	C
								23a.4 Develop an audit schedule to enable Directorates to carry out a self assessment	Bob Rayner (City Solicitor)	30/06/09			September 08 update New Action	N
								23a.3 Introduction of File Plans to provide guidance for the storage of information and email (Pilot project to be considered)	Bob Rayner (City Solicitor)	31/12/09	Work started. Change of wording to show benefits	T	September 08 update Action on target.	T
23b	Failure to maintain and improve data quality	1. Inadequate/ unreliable data will prevent the collation of accurate performance management information	1. Information Governance Policy and Strategy. 2. Data Quality self assessment 3. Data quality audit.	3	3	9	Dave Smith (Chief Executive Designate)	23b.5 Implement action plan agreed with Audit Commission.	Dave Smith (Chief Executive Designate)	31/12/08	New Action	N	September 08 update Action completed prior to target date (31/12/08).	C
								23b.6 Appointment of supplier of electronic performance management system	Dave Smith (Chief Executive Designate)	30/09/08 30/04/09	New Action	N	September 08 update Action delayed. Target date changed from 30/09/08 to 30/04/09. A PQQ has been completed and 5 suppliers shortlisted to progress to the formal tender stage of the procurement process. Tender documents will be available for suppliers w/c 22nd September. Evaluation will include a demonstration of the five performance management systems	D
								23b.7 Improve how we share information on a locality basis	Dave Smith (Chief Executive Designate)	31/03/09	New Action	N	September 08 update Action on target.	T
23d	Council data is not adequately protected	1. Loss of information. Reputation damage	1. Information Security Management ISO 27001	4	2	8	Dave Smith (Chief Executive Designate)	23d1 Data transfer audit to be undertaken	Bob Rayner (City Solicitor)	01/12/08	New Action	N	September 08 update Action on target.	T
								23d2 Review compliance with the Payment Card Industry Standard	Bob Rayner (City Solicitor)	01/12/08	New Action	N	September 08 update Action on target.	T
								23d.3 Appropriate protocols and encryption safeguards to be in place for the use of laptops, email and other portable devices	Dave Smith (Chief Executive Designate)	31/03/09	New Action	N	September 08 update Action on target.	T
								23d.4 Identify people with access to sensitive information and provide them with most secure	Dave Smith (Chief Executive Designate)	30/09/09			September 08 update New Action	N
								23d.5 Review procedures for disposal of laptops	Dave Smith (Chief Executive Designate)	31/03/09			September 08 update New Action	N
								23d.6 Review procedures for disposal of memory sticks	Dave Smith (Chief Executive Designate)	31/03/09			September 08 update New Action	N
								23d.7 Directors to seek assurances from recipients of Council data as to the security of the data supplied	Dave Smith (Chief Executive Designate)	30/06/09			September 08 update New Action	N
23f	Failure to Comply with Poynter report on sustainable information governance	1. Loss of information. Reputation damage	1. Information Security Management ISO 27001	4	2	8	Dave Smith (Chief Executive Designate)	23f.1 Review current position and develop delivery plan to address any non compliance issues	Dave Smith (Chief Executive Designate)	30/06/09		September 08 update New risk and action	N	
23e	Lack of consistent approach to FOI and complaints	1. Customers receive conflicting service delivery	1. Corporate Information Governance Group	3	3	9	Dave Smith (Chief Executive Designate)	23e.1 Implementation of the FOI and complaints project	Bob Rayner (City Solicitor)	31/12/08 30/04/09	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 officers) due June 08; Phase 2 (Members requests) due Sept 08 and an indicative date for RFI to be fully implemented by September 2009.	N	September 08 update Action delayed. Target date changed from 31/12/08 to 30/04/09 Project started. Complaints element completed. Outstanding aspects relate to requests for information. This is divided into 4 areas 1) Info for Members 2) Data Protection 3) FOI requests. 4) Environmental Info Requests	D

Strategic priorities/ CIP Links: SP2, SP3, CCP1, CI03

Profile 25 Governance Arrangements

Council Priority = **LOW**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
25a	Failure of governance arrangements	1. Failure to meet Strategic Objectives. Failure of public perception and confidence	1. Local Code of Corporate Governance 2. Corporate Governance Review carried out annually 3. Corporate Governance Steering Group 4. Corporate Governance and Internal Control integrated into CIP 5. Performance clinics 6. Reviewed delegation schemes. 7. Audit Commission Reports	5	1	5	Keith Beardmore (City Treasurer)	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	Keith Beardmore (City Treasurer) Lead / Dave Smith (Chief Executive Designate) / Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	Annually	On target Actions to be undertaken on an annual basis	T	September 08 update Action on target.	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	New action	N	September 08 update Action on target.	T
25b	Failure of employees to understand responsibilities	1. Possible breaches of legislation and Council protocols. 2. Negative impact on Council reputation.	1. Employee Code of Conduct	4	2	8	Keith Beardmore (City Treasurer)	25b.1	Review and reissue employee code of Conduct	Keith Beardmore (City Treasurer) Lead / Bob Rayner (City Solicitor)	30/09/08 30/06/09	On target	T	September 08 update Action delayed. Target date changed from 30/09/08 to 30/06/09. New national guidance has been produced and review has been delayed to take into account the new guidance.	D
25c	Failure to adhere to report writing guidance when producing Cabinet reports	Possibility of misallocation of resources to policies / strategies	Constitution. Report writing guidelines	4	2	8	Bob Rayner (City Solicitor)	25c.1	Develop further training in respect of report writing requirements	Bob Rayner (City Solicitor)	30/06/09			September 08 update New Action	N
25d	CIO3/6 Failure to Manage Risks	1. Failure to achieve council's priorities and objectives	1. Corporate Risk Management Strategy and Framework 2. Corporate Risk Profile.	5	2	10	Dave Smith (Chief Executive Designate)	25d.1	Continue to report annually to Cabinet, and Audit and Governance Committee, on the effectiveness of the Risk Management process	Dave Smith (Chief Executive Designate) Phil Barrett / Paul Dobson / Helen Paterson / Neil Revely / Keith Beardmore Lead/ Bob Rayner (All Chief Officers)	31/03/09	New action	N	September 08 update Action on target. Previously action 2p.1 - transferred as the risk and associated actions are more aligned to Corporate Governance than the Improvement Agenda	T
Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CI01, CI02, CI03, CI04															

Profile 26 Resilience to Major Incidents

Council Priority = **LOW**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
26a	The Council and partners are unable to respond to a major incident	1. No clear guidance to protect stakeholders when a major incident occurs.	1. Emergency Response Plan in place supported by Corporate Group. 2. Subject to regular testing and updating. 3. Partners with South Tyneside Authority for the management of a major incident	5	2	10	Phil Barrett (Director of D&R)	26a.2	Major Emergency Response Plan and specific supporting plans (e.g. Flood Plans) due to be updated and disseminated.	01/12/08	New action	N	September 08 update Action on target.	T
								26a.3	Plans to be tested	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	June 08 update Action completed by target date (01/04/08).	C
								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	31/12/08	New Action	N	September 08 update Action on target.	T
								26a.5	Test of ERP (annually)	Annually			September 08 update New action.	N
								26a.6	Implement Pitt report recommendations (re issues of flooding)	31/12/10			September 08 update New action.	N
								26b	Council unable to continue business during an incident/ disruption	1. Does not provide clear guidance to enable business recovery to be immediately implemented	1. Corporate Group has been established and templates have been produced to assist directorates to complete business continuity plans 2. Business dependencies identified.	5	3	15
26b.4	Further testing of plans to be undertaken (as stated in Stage 4 of the new British Standard)	Annually	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	September 08 update Action on target.	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)	31/03/09	New action	N	September 08 update Action on target.	T								
26b.6	Checking mechanism (against key impact criteria) to be put in place to confirm status of critical functions	31/05/08 30/09/08	New action	N	June 08 Update: Action delayed. Target date changed from 31/05/08 to 30/09/08. The checking mechanism is now being built into the next cycle of the Business Continuity Process and will now be in place by September 2008. This is being done alongside the British Standard which we are looking to achieve for Business Continuity and is also in line with the Internal Audit recommendation of a similar nature. September 08 update. Action on target.	T								
26b.7	Schools to develop BCP plans and consider crisis management planning	31/03/10	New action	N	September 08 update Action on target.	T								
26b.8	Recommendations from internal audit to be incorporated into corporate process	31/03/09			September 08 update New action.	N								
26b.9	New Directorate and Corporate BCM plans to be developed	31/03/09			September 08 update. New action.	N								
26c.1	Implement recommendations from Internal Audit on BCM. Conduct active promotion of BCM across the city	31/03/09	A recent audit was carried out by Internal Audit. Await final report for recommendations.	N	September 08 update Action on target.	T								

Strategic priorities/ CIP Links: SP1, SP5, CCP1, CI03, CI04

Profile 28 Financial Pressures

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
28a	Failure to manage financial pressures (Impacting factors, Lyons Review, Government Efficiency targets, CSR 2008 settlement etc) Equal pay and associated costs. Efficiency issues Credit Crunch Major projects SSTC BSF Strategic Waste	1. Decreasing level of service provided to stakeholders	1. Medium Term Financial Strategy 2. FMS system 3. Budget Monitoring 4. Service policy reviews 5. Budget Planning Framework which incorporates - use of cash limits; - target efficiency savings - corporate and service efficiency reviews - policy on reserves	4	2	8	Keith Beardmore (City Treasurer)	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	September 08 update This has been completed for 2008/2009.	T
								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	September 08 update Action on target.	T
								28a.7	Continue to implement \ upgrade FMS system to assist in the achievement of business benefits and to support the Business Improvement	Keith Beardmore (City Treasurer)	Annually	New action	N	September 08 update Action completed as annual process is now undertaken	C
								28a.8	Review and monitor the effectiveness of the Treasury Management Strategy to protect the Councils assets from the uncertainty in financial markets	Keith Beardmore (City Treasurer)	30/04/09			September 08 update New Action	N
								28a.9	On-going review and monitoring of current financial situation to identify any possible service and financial impacts on Council plans and business	Keith Beardmore (City Treasurer) Lead / Dave Smith / Philip Barrett / Paul Dobson / Helen Paterson / Neil Revely / Bob Rayner (All Chief Officers)	30/04/09			September 08 update New Action	N

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP3, CCP4, CI01, CI02, CI03, CI04

Profile 29 Safer City

Council Priority = **LOW**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
29a	Not effectively managing crime and disorder	1. Failure to reduce crime, anti social behaviour and substance misuse. 2. Failure to reduce public perception of the level of crime, anti social behaviour and substance misuse. 3. Leaves us open to legal challenge and upheld complaints (e.g. ombudsman etc). 4. Increased numbers of issues raised under Calls for Action. 5. Loss of council reputation.	1. Comprehensive regular review of compliance across the Council 2. Corporate Section 17 Improvement Plan developed 3. Individual, tailored training session provided for managers in each Directorate 4. Lead Officer in Safer Communities Team nominated to monitor compliance and provide support 5. Briefing bulletin 6. Induction process 7. Improvement actions	5	2	10	Dave Smith (Chief Executive Designate)	29a.8	Develop and agree S17 policy	Dave Smith (Chief Executive Designate)	30/09/08 31/10/08	New action	N	September 08 update Action delayed. Target date changed from 30/09/08 to 31/10/08. Lead officer identified to take this work forward. Draft for circulation to directorates will be completed by mid October 08.	D
								29a.9	Review key decision (through Cabinet) compliance with S17 and report to EMT	Dave Smith (Chief Executive Designate)	30/11/08	New action	N	September 08 update Action on target.	T
								29a.10	Develop Improvement Plan following review (as appropriate)	Dave Smith (Chief Executive Designate)	31/01/09	New action	N	September 08 update Action on target.	T
								29a.11	Update Council's S17 Corporate Improvement Plan in line with revised Safer Sunderland Strategy, LAA and CAA arrangements.	Dave Smith (Chief Executive Designate)	30/06/08	New action	N	June 08 update Action completed by target date (30/06/08).	C

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CI01, CI02, CI03, CI04

Profile 30 Waste Management

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status
30a	Fail to ensure Sunderland's achievement of LATS targets.	1. Non achievement of LATS targets and potential exposure to penalties 2. Increased costs of waste disposal.	1. Representation on STWWMP Project Board and established sub-groups. 2. Joint Executive Committee. Regular progress meetings between City Treasurer and Head of Environmental Services. Monitoring of Waste Dataflow and Environment Agency outturn forecasts. 3. Waste Strategy 4. Outline Business Case.	4	2	8	Paul Dobson (Director C&CS)	30a. Implement waste management bridging arrangements (from 2009 until new facility in place)	Paul Dobson (Director C&CS)	31/12/08	New action	N September 08 update Action on target.	T
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.	1. Public rejection of Joint Municipal Waste Management Strategy and/ or infrastructure proposals. 2. Other parties generate adverse publicity for proposals affecting Council's standing. 3. Costs escalate as a result of delays or more costly options being adopted. 4. Failure to achieve targets	1. Waste Management Strategy	4	4	16	Paul Dobson (Director C&CS)	30b.1 Develop Communication Strategy at Council and Partnership level (including approach and plan)	Paul Dobson (Director C&CS)	31/03/08	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	T June 08 update Action completed by target date (31/03/08).	C
								30b.2 Implement Council Communication Action Plan	Paul Dobson (Director C&CS)	31/05/08 31/07/08	New action	N June 08 update Action delayed. Target date changed from 31/05/08 to 31/07/08. The Communication Action Plan has not been finalised to allow further developments to accommodate the requirement for additional consultation. Further details will be available following a meeting on the 30/06/08. September 08 update Action completed by target date (31/07/08).	C
								30b.3 Prepare Sunderland specific communication regarding site announcement	Paul Dobson (Director C&CS)	31/10/08		N September 08 update New action	N
30c	Cost of or the funding contribution in respect of the PFI project proves to be prohibitive or unsustainable	1. Unsustainable increase cost to Sunderland council for the management and disposal of waste. 2. A need to address alternative funding arrangements could extend liability to LATS penalties and increased costs.	1. Joint working of Partnership Treasurers. 2. Cost Allocation Framework	5	2	10	Keith Beardmore (City Treasurer)	30c.2 Monitor councils expected contributions to ensure appropriate reserves have been allocated to meet affordability	Keith Beardmore (City Treasurer)	On-going during project	Provision has been made in new budget. Process has started	N September 08 update Action on target.	T
30d	Failure to comply with waste disposal legalisation	1. Risk of prosecution under Hazardous Waste Regulations (2005) or Waste Electrical and Electronic Equipment Directive	1. Collection facilities exist for all hazardous waste streams (but do not operate across all council premises/services)	4	4	16	Phil Barrett (Director of DR)	30d.1 Issue hazardous waste guidance note to all Council premises	Phil Barrett (Director of DR)	30/06/08 31/07/08 30/09/09	New action	N June 08 update Action delayed. Target date changed from 30/06/08 to 31/07/08. Hazardous Waste Guidance Note was approved at EMT on 6th May 2008. The Guidance Note has not yet been circulated to all civic buildings. Property Services are currently identifying all Site Asbestos Management Officers in order to disseminate the guidance note through them. September 08 update Action delayed. Target date changed from 31/07/08 to 30/09/09. Update from Property Services was that 200/400 sites had received the guidance as of 30/07/08 through the network of Site Asbestos Management Officers. The distribution should be completed by 30/09/09.	D
								30d.2 Confirm all premises meeting Hazardous Waste Regulations	Phil Barrett (Director of DR)	31/03/09	New action	N September 08 update Action on target.	T

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CI01, CI02, CI03, CI04

Profile 31 Sustainability Agenda

Council Priority = MEDIUM

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status		
31a	Failure to have an overall Council approach to sustainability	1. Reputational risk of council not being seen to adopt its own sustainability goals 2. Council carbon emissions and energy costs will increase 3. Disposal cost of corporate waste will increase. Risk of breaching waste regulations. 4. Wider benefits of council expenditure on local community and environment will be lost. 5. Cost and environmental impact of employee travel to and during work will increase. 6. Employees do not adhere to council sustainability issues	1. Energy Management systems 2. Carbon Plan and Corporate Travel Plan all in place. 08/09/08: Risk Likelihood changed from 4 to 2.	4	2	8	Dave Smith (Chief Executive Designate)	Work towards adopting a corporate sustainability policy by developing:					N	September 08 update Action on target.	T
								31a.1	Deliver Year 2 work programme within the Carbon Plan	Phil Barrett (Director of D&R)	31/03/09	New action			
								31a.2	Provide resources to develop a corporate Waste and Recycling Plan	Phil Barrett (Director of D&R)	31/03/09	New action			
								31a.3	Develop a Sustainable Procurement Strategy, and meet Level 1 of the national Flexible Framework	Keith Beardmore (City Treasurer)	31/03/09	New action			
								31a.4	Publish Corporate Travel Plan. Increase uptake of discounted travel passes.	Phil Barrett (Director of D&R)	31/03/09	New action			
								31a.5	Develop and adopt employee policies, training and induction material on sustainability	Dave Smith (Chief Executive Designate)	30/06/08	New action			
								31a.6	Adopt corporate sustainability policy	Phil Barrett (Director of D&R)	31/03/10	New action			
								31a.7	Energy Conservation Team to produce and adopt a Council wide Energy Policy	Phil Barrett (Director of D&R)	31/12/08	New action			
31c	Failure to implement sustainability appraisals (SA) of key decisions	1. Council cannot demonstrate all decisions are made according to sustainable development principles	1. SA carried out already on all statutory planning documents, Sunderland Strategy and Local Area Agreement. 2. SA for projects/programmes being piloted within PRINCE2 systems 09/09/08: Risk Likelihood changed from 4 to 3.	4	3	12	Dave Smith (Chief Executive Designate)	Expand sustainability appraisal process as follows:					N	September 08 update Action completed prior to target date (30/09/08).	C
								31c.1	Produce simple checklist for rolling out SA	Phil Barrett (Director of D&R)	30/09/08	New action			
								31c.2	Apply SA to all Projects and Programmes	Dave Smith (Chief Executive Designate)	30/09/08	New action			
								31c.3	Include SA within Service Planning framework	Dave Smith (Chief Executive Designate)	30/09/08	New action			
								31c.4	Include SA within Capital Programme bidding process	Keith Beardmore (City Treasurer)	30/09/08 31/10/08	New action			
								31c.5	Include SA within area-based regeneration funding	Phil Barrett (Director of D&R)	30/09/08 31/12/08	New action			
31c.6	Develop sustainability guidance for report writing on strategic decisions	Bob Rayner (City Solicitor)	30/09/08	New action											
31d	Failure to implement overall city wide approach to Climate Change.	1. Unable to fulfil our commitments to reach our targets to reduce CO2 emissions and carbon footprint.	1. 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	Phil Barrett (Director of D&R)	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	September 08 update Action on target.	T

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CI01, CI02, CI03, CI04

Profile 32 Economic Regeneration

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
32a	Failure to create a prosperous city	1. Failure to develop a strong and competitive local economy. 2. Average employee wages in the area are below the national average. 3. Failure to raise Gross Added Value per head.	1. Sunderland Strategy 2. Thematic Group 3. CIP	5	3	15	Dave Smith (Chief Executive Designate)	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 (Chief Executive Designate)	30/04/09 31/01/10	New action	N	September 08 update Action delayed. Target date changed from 30/04/09 to the 31/01/10. External consultants are to be engaged to develop the Economic Master Plan.	D
32b	Failure to address the skills deficit, to enable the local workforce to be skilled, motivated and wealth creating	1. Sunderland residents do not have the skills to take advantage of new employment opportunities. 2. Fail to reduce worklessness	1. Sunderland Strategy 2. Thematic Group 3. CIP	5	4	20	Dave Smith (Chief Executive Designate)	32b.1 Targets and interventions to be set out in Economic Development Master Plan to address skills issues	Dave Smith (Chief Executive Designate)	31/03/08 30/04/09 31/01/10	Action delayed. Target date changed from 31/03/08 to 30/04/09. Previously 3b.1 and 3b.2.	D	September 08 update Action delayed. Target date changed from 30/04/09 to the 31/01/10. External consultants are to be engaged to develop the Economic Master Plan.	D
								32b.2 Working neighbourhood Strategy to be developed to address worklessness	Dave Smith (Chief Executive Designate)	30/10/09		September 08 update New action	N	
								32b.3 Learning Partnership aligned to focus upon 14-19 and Adult Skills agendas which will help identify key interventions and	Dr Helen Paterson (Director of Children's Services)	30/10/09		September 08 update New action	N	
32c	Failure to support the growth of existing and new business and business sectors.	1. Failing to develop a sustainable economy and increase job opportunities	1. Sunderland Strategy 2. Thematic Group 3. CIP	5	3	15	Dave Smith (Chief Executive Designate)	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 (Chief Executive Designate)	30/04/09 31/01/10	New action	N	September 08 update Target date changed from 30/04/09 to the 31/01/10. Action delayed as external consultants are to be engaged to develop the Economic Master Plan.	D
								32c.2 Working Neighbourhood Strategy to be developed to address enterprise agenda with a focus on business start up.	Dave Smith (Chief Executive Designate)	31/10/09		September 08 update New action	N	
								32c.3 Wider business growth agenda to be developed through Economic Masterplan	Dave Smith (Chief Executive Designate)	31/01/10		September 08 update New action	N	

Strategic priorities/ CIP Links: SP1, SP2, SP3, SP4, SP5, CCP1, CCP2, CCP3, CCP4, CI02, CI04

Profile 33 Sunderland Strategic Transport Corridor (SSTC)

Council Priority = **HIGH**

ID	Risks	Impact	Current Controls	Impact Likelihood	Risk Rating	Risk Owner	Recommended Actions	Responsibility	Target Date	Progress Update March 2008	Status	Progress Update June 2008 (by exception) & September 2008	Status	
33a	The chosen bridge design (if concept 'iconic' design is selected) may be unaffordable	Potential gap funding of at least £30m which is not covered by DfT funding allocation. ONE North East have indicated a £8.9m further contribution to this funding gap.		5	5	25	Phil Barrett (Director of D&R)	33a.1 Determine Whole Life Costings for the project	Phil Barrett (Director of D&R)	21/11/08			September 08 Update New action	N
								33a.2 Review/update current Business Case against the agreed programme to reflect the current viability and cost management of the project (to incorporate economic development analysis and traffic modelling)	Phil Barrett (Director of D&R)	Mid 2011 (prior to Conditional Approval)		September 08 Update New action	N	
								33a.3 Develop a Funding Strategy (to identify and secure funding source to cover shortfall)	Phil Barrett (Director of D&R)	end Nov / early Dec 08		September 08 Update New action	N	
33b	Unable to proceed with appropriate appointment of contractors for construction	Unable to start construction to required timetable Delays to the programme and associated increase in costs		5	2	10	Phil Barrett (Director of D&R)	33b.1 Develop and approve the Procurement Strategy (inc options appraisal and Contract Strategy)	Phil Barrett (Director of D&R)	31/12/08			September 08 Update New action	N
								33b.2 Complete procurement process and appoint Contractor	Phil Barrett (Director of D&R)	31/08/09		September 08 Update New action	N	
								33b.3 Implement required Project Governance arrangements with adequate resource planning	Phil Barrett (Director of D&R)	30/11/08		September 08 Update New action	N	

33c	Insufficient capacity / capability available within the project.	Project resources become overstretched impacting on staff morale Increased levels of stress Slippage on project activities Skills shortage		5	4	20	Phil Barrett (Director of D&R)	33c.1	Resource planning to be aligned to agreed Programme Plan	Phil Barrett (Director of D&R)	Early Dec 08		September 08 Update New action	N
								33c.2	Appoint Interim Project Director	Phil Barrett (Director of D&R)	30/11/08		September 08 Update New action	N
								33c.3	Secure additional skilled resources as required	Phil Barrett (Director of D&R)	ongoing		September 08 Update New action	N
33d	Inadequate project management arrangements in place to effectively deliver requirements	Lack of control and monitoring of project activities and expenditure Reduced ability to deliver requirements effectively		4	2	8	Phil Barrett (Director of D&R)	33d.1	Develop detailed integrated programme plan (inc resource planning)	Phil Barrett (Director of D&R)	Early Dec 08		September 08 Update New action	N
								33d.2	Review / update Risk Register and RM processes and assign appropriate owners (subject to regular monitoring)	Phil Barrett (Director of D&R)	30/11/08		September 08 Update New action	N
								33d.3	Establish key project processes (change control, QA, financial monitoring, reporting arrangements etc)	Phil Barrett (Director of D&R)	31/12/08		September 08 Update New action	N
33e	No agreed Corporate Governance arrangements in place	Lack of clarity around roles and responsibilities and accountability which affects decision making Lack of buy in and corporate ownership		5	2	10	Phil Barrett (Director of D&R)	33e.1	Conclude project structure and governance review	Phil Barrett (Director of D&R)	31/10/08		September 08 Update New action	N
								33e.2	Implement new proposals from review	Phil Barrett (Director of D&R)	30/11/08		September 08 Update New action	N
33f	Insufficient stakeholder engagement / involvement on the project	Lack of understanding as to the required level of future engagement with key stakeholders Inconsistent messages / misinformation Lack of buy in and commitment	1. Full stakeholders chart and matrix developed and in place.	3	2	6	Phil Barrett (Director of D&R)	33f.1	Develop and implement a Communication Strategy	Phil Barrett (Director of D&R)	31/12/08		September 08 Update New action	N
								33f.2	Develop detailed Communication Plan	Phil Barrett (Director of D&R)	31/12/08		September 08 Update New action	N
33g	Objections from statutory consultees are made during the statutory processes (i.e. Planning applications, Side Road Order's and	Project delays and increased associated costs Possible re-design work		3	2	6	Phil Barrett (Director of D&R)	33g.1	Liaise with all statutory consultees at key stages of the project	Phil Barrett (Director of D&R)	ongoing		September 08 Update New action	N
								33g.2	Liaise with Highways Agency to satisfy them there is no adverse impact on the trunk road from our proposals	Phil Barrett (Director of D&R)	01/06/09		September 08 Update New action	N
33h	Timely decisions are not made within the project.	Adverse impact on programme timescales Unable to progress with key aspects of work		5	5	25	Phil Barrett (Director of D&R)	33h.1	Communicate key project milestones to raise understanding of why/when decisions are required	Phil Barrett (Director of D&R)	ongoing		September 08 Update New action	N
								33h.2	Ensure all information is accurate and up to date to inform decision making	Phil Barrett (Director of D&R)	ongoing		September 08 Update New action	N
33i	Delays to works due to limited control and/or influence over External Agencies (eg Public Utilities and Environment Agency etc)	Potential project delays and associated costs	Programme plan in place Up to date Public Utility plans have been received	3	3	9	Phil Barrett (Director of D&R)	33i.1	Seek agreement that advanced works can be taken forward	Phil Barrett (Director of D&R)	Mid 2010		September 08 Update New action	N
33j	Unforeseen circumstances and price increases etc cause the project to breach its financial tolerances	Insufficient funding to continue with the project Decreased quality and project benefits		5	2	10	Phil Barrett (Director of D&R)	33j.1	Regular financial monitoring to be undertaken	Phil Barrett (Director of D&R)	ongoing		September 08 Update New action	N

Strategic priorities/ CIP Links: SP1, SP5, CCP1, CCP2, CCP4, CI04