

SUNDERLAND CITY COUNCIL - CORPORATE RISK REGISTER										
Risk No CIP	Risk Issue	Risk Owner	Inherent Risk Score	Residual Risk Score	Causes/ triggers	Effects	Key existing controls	No	Potential additional/ strengthened controls	Action manager
1 Attractive and Inclusive City	Difficulties in managing/ delivering services that meet the changing patterns of housing availability, suitability, sufficiency and demand heightened by the economic downturn	Neil Revely Executive Director Health Housing & Adult Services	9.83	6.09	Difficulties in developing and delivering an effective housing strategy and policy due to rapid changes in the market needs and availability Economic downturn contributing to job losses, reduced income levels and increasing numbers of mortgage repossessions (all leading to an increase in the number of homeless people) Current and future limitations in affordable housing Current shortage of more expensive accommodation (executive houses) that is ultimately seen as being essential if more 'professionally qualified' people are to be attracted into the city Cost and availability limitations to place people in suitable 'short term' accommodation (including Bed & Breakfast) People experiencing housing difficulties have expectations that the Council cannot meet Delays in responding to requests and making assessments due to increased levels of demand	Increasing levels of demand lead to delays in processing applications, completing assessments and identifying suitable solutions Increasing numbers of people in temporary and/ or unsuitable accommodation Potential adverse impacts on community cohesion and levels of anti-social behaviour and crime Medium term impacts on new build, refurbishment and home improvement programmes Longer term impact on the delivery of the 'attractive and inclusive city' and other improvement priorities	Housing strategy already linked to 15 year plan for adult services, housing and health care (continually reviewed and adapted ) Currently only a very small number of homeless people 'living' in the city Both a housing market assessment and a stock condition survey have recently been completed. A planning/ housing officers group has been set up to identify and manage actions based upon their findings (also linking into local area agreements) Gentoo has already improved the former Council housing stock to at least achieve the requirements of the Decent Homes standard. The Council has achieved a very marked reduction in the number of people in Bed & Breakfast accommodation (advised to be 7 compared to 46 two years before) There is a well established 'accredited landlord' scheme with a very high percentage of the private landlords signed up to it. Current initiatives include 'mortgage rescue schemes' and buying 'rundown' properties for renovation. Established working relationship with the Communities Agency Partnership Working with the private sector partners to secure housing renovation and/ or new build affordable housing opportunities	1	Finalise proposals to create a local housing company	Alan Caddick Head of Housing
								2	Implement (and monitor) the benefits of the preventing homelessness initiatives including below: a) Approval of Prevention of Homelessness Project Business Case b) Implementation of Choice Based Letting	Alan Caddick Head of Housing
								3	Ensure the housing issue is addressed by the Economic Master Plan	Vince Taylor Head of Strategic Economic Development
								4	Identify housing projects and assimilate the Housing Strategy with the 15 year plan to ensure everybody has access to good quality accommodation	Alan Caddick Head of Housing
2 Attractive and Inclusive City	Difficulties in developing and delivering an effective strategy and plan for social inclusion, community cohesion and equality	Dave Smith Chief Executive	8.12	5.82	Failure to meet high profile central government key performance indicators (e.g. in relation to hard to reach communities/ minorities or terrorism prevention) Impact of these failures of the Council's assessment under Comprehensive Area Assessment Criticisms resulting from the allocation of very significant levels of resource in an attempt to meet the Key Performance Indicators (KPIs)	Perception (very largely unjustified) of Sunderland as a 'intolerant' city/ as one where an individual's safety can be comprised by racist or religious hatred. Very close central government scrutiny as a result of failing to meet one or more key indicators Allocation of significant levels of resource to try and achieve the targets ( is subject to general and political criticism) Potential for public enquiry/ high profile adverse publicity in the event of the occurrence of a major incident	<b>External</b> Community cohesion & social inclusion regular agenda topics in area committee meetings. Each has a diversity champion. Regular input of results of monitoring activities (albeit this is primarily reactive) Close working relationships between Council, Police and other partners Review of Community Cohesion in Sunderland completed by Independent Consultants ICoCo in 2007/08 and its recommendations followed up. Partnership Community Cohesion Strategy developed and presented to Regeneration & Community Review Committee in January 2009 Independent advisory groups established (e.g. on gender, age, sex, faith, etc.) but require strengthened links to Sunderland Partnership <b>Internal:</b> Cllrs Charlton & Anderson (Cabinet Members) both actively involved in driving agenda forward. Council has Level 3 Equality Standard and is working to Level 4. Internal Diversity and Social Inclusion team strengthened and continues to work closely with personnel on workforce profiling. Policies and procedures for handling sensitive information (in line with central government guidelines) Numerous examples of specific social inclusion initiatives	1	Ensure the topic is covered within the Community Leadership Programme	Phil Spooner Head of Community Leadership Programme
								2	Implement and monitor the community cohesion strategy	Sarah Buckler Diversity and Inclusion Manager
								3	Review communication and other arrangements to link the advisory groups into the Sunderland Partnership	Sarah Buckler Diversity and Inclusion Manager
								4	Area based community cohesion strategies to be agreed. (East agreed ) Rolling programme with another 3 areas to be agreed by March 10	Sarah Buckler Diversity and Inclusion Manager
								5	Review Impact and Needs Requirement Assessment process (INRA) to ensure it includes Community impact	Sarah Buckler Diversity and Inclusion Manager
								6	Develop 2 year plan to move from achieving to excellent in the new equality framework	Sarah Buckler Diversity and Inclusion Manager
								7	Ensure PREVENT plan is completed, adopted and communicated with high priority	Sarah Buckler Diversity and Inclusion Manager
								8	Review delivery of the Sunderland City Wide Racist Incident Reporting system (ARCH) to include other types of Hate related incidents	Sarah Buckler Diversity and Inclusion Manager
3 One Council	Continuing lack of recognition of/ support for/ involvement in Sunderland as one community	Dave Smith Chief Executive	8.15	5.56	A continuing lack of 'community cohesion' in its broadest sense Continuing differing perceptions of priorities and requirements based on local understandings/ perceptions Elected Members (of all political parties) 'being required' by their local communities to take a narrow (almost ward based) view on some issues	Lack of a singular/ cohesive community identity Consequent lack of buy in to/ support of the 'Sunderland brand' External initiatives to promote the city (e.g. economic development) are undermined/ have reduced levels of success	Well established and supported Local Strategic Partnership (Sunderland Partnership) has developed and communicated the Sunderland Strategy linked to Improvement Priorities and National Indicators	1	Review communication, understanding and positioning of the 'Sunderland' brand within the Sunderland Partnership and area committees	Deborah Lewin Director of Communications and Marketing
								2	Review communication, understanding and positioning of the 'Council' brand	Deborah Lewin Director of Communications and Marketing
								3	Collate more detailed information about citizens on a locality basis to establish more effective engagement with local communities	Sarah Reed Assistant Chief Executive

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4 One Council	Failure of the Council to support Elected Members to deliver their relevant community leadership role	Dave Smith Chief Executive	9.34	4.91	Failure of the Council to increase the understanding of Members in relation to the Community Leadership Role	Scrutiny is a key priority with the Council but it will not be totally successful unless members have the capability to address it effectively. Members ability to embrace partnerships will also be effected. The Council needs to increase its national / regional reputation / voice, therefore members have to have the tools to get involved and effectively communicate on Council matters to increase visibility, the reputation and the image of Sunderland.	All members of cabinet have a balanced score card and a 360 degree appraisal based on this Planned that this will be rolled out to cover all Elected Members Training/ development needs have been identified and are themselves being developed. Seeking to introduce training programmes that will lead to a recognised accreditation	1	Implement the Community Leadership Programme to encourage take up of opportunities e.g. through identifying Member Champions. The Community Leadership Programme Board to agree the scope of the following projects:	Phil Spooner Head of Community Leadership Programme
								1a	Community Leadership Councillor	Phil Spooner Head of Community Leadership Programme
								1b	Recognition for action	Phil Spooner Head of Community Leadership Programme
								1c	Review of Sunderland Partnership	Phil Spooner Head of Community Leadership Programme
								1d	Responsive Local Services	Phil Spooner Head of Community Leadership Programme
5 One Council	Continuing difficulties in addressing the perception gap between the services the Council currently delivers and the overall evaluation of the Council	Dave Smith Chief Executive	9.83	5.96	In line with the accountability concept underpinning Comprehensive Area Assessment (CAA), the Council is seen by many completing the Citizens Survey as being wholly responsible for all elements of the community's health, safety and wellbeing. Thus while most aspects of the Council's day to day service delivery are regarded as being good by the majority, many wholly place 'blame' on the Council for the City's continuing long term concerns (e.g. around crime/ fear of crime, ill-health, economic and social deprivation, etc) and mark its overall performance down accordingly. Perceptions that the Council is difficult to access and/or that services are not delivered in timely manner (e.g. people living away from the City Centre perceive they have to travel to the Civic Centre to meet Council personnel 'face to face') Frustrations arising from not gaining easy access to the person(s) who can help Unnecessary contacts or contacts that are of no or only limited value (e.g. having to repeat personal details on each contact to the Council) 'Bad news' stories getting more attention than good	Negative impacts on the image of the Council Some view the Council as being 'distant' (or worse uncaring/ unfair) Damage to the council reputation and political standing	Customer Services' offer multiple means of contact including e mail, internet, telephone and letter. Street based kiosks. Face to face meetings with staff via Customer Service Centres in Civic Centre, Bunny Hill, Hetton, Highfield, Houghton, Ryhope, Sandhill, Shiney Row, Southwick and Washington Contact Centre available 08:00 - 18:30 Monday - Friday. Staffing levels set to meet anticipated level of demand. Extensive training before being authorised to answer calls. 'Scripted responses' to address incoming emergency calls Ability for staff to escalate calls to a supervisor if /as necessary Monitoring and reporting of overall centre performance statistics Individual call monitoring for training purposes Regular contact and liaison with local media Extensive annual survey of customer satisfaction by external organisation (MORI) with findings reviewed and acted upon Formal complaints procedure (provides for acknowledgement, investigation and response, etc) Complaints statistics retained and analysed	1	Implement the Business Improvement Programme (BIP) customer service review project	Andrew Seekings Head of Programme & Project Office
								2	Utilise the Demos Trust initiatives to help address analysis of the population	Sarah Reed Assistant Chief Executive
								3	Utilise "MOSAIC" analysis software to gain a better understanding of different segments of the population	Sarah Reed Assistant Chief Executive
6 Customer focused services	Difficulties in implementing effective engagement and consultation with communities	Dave Smith Chief Executive	9.33	5.69	Failure to devise/implement/ demonstrate arrangements that enable consultation with a suitable cross section of the local community (including hard to reach groups) Incomplete/ inadequate/ misdirected market research Misguided/ misaligned consultation (i.e. wrong questions asked/ right questions asked in the wrong way) Low levels of support for/ responses to consultation processes Limited/ conflicting responses to consultation make meaningful analyses difficult Delays/ changes in the local environment between carrying out consultation and implementing the strategy/policy linked to it lead to erosion of support at time of implementation Ineffective ongoing communication with the local community	Ineffective consultation / limited or unclear outputs from consultation lead to the Council/ its partners making key strategy/policy decisions based on incomplete or misleading information Unease/ concern/ opposition within the local community to the implementation of strategy/policy Reduced /limited levels of support for strategy Adverse community reactions (disengagement, apathy, hostility, activism) Adverse reactions from partners (disengagement, inactivity, withdrawal of support) Adverse impact on external audit findings/ Comprehensive Area Assessment Adverse impact on reputation and political standing	Manifold well established/ proven procedures for developing, implementing, managing and interpreting the results of general and specific consultations. Particular care taken to ensure opportunities to participate in consultation are based on an appropriate and balanced cross section (including hard to reach groups where/as applicable) Experienced researchers and analysts Proposed strategy/ policy itself subject to consultation before adoption Involvement of partners encouraged Ongoing arrangements for communication with partners and public Leadership role of Elected Members ( to be further developed within the planned training and development programmes for Elected Members)	1	Strengthening of the Consultation Group and database to facilitate the sharing of information, expertise, knowledge and best practice and better co-ordinate activity	Nadine Morrisroe Consultation Manager
								2	Procurement and implementation of an e-consultation solution to encourage wider involvement in engagement activity and support the consultation database	Nadine Morrisroe Consultation Manager
								3	Commence Implementation of the Community Development Plan	Jane Hibberd Assistant Head of Community Services
								4	Establish a Community Development Exchange for Community Development practitioners; Council, Sunderland Partnership organisations and VCS organisations	Jane Hibberd Assistant Head of Community Services
								5	Review of Sunderland Community Network and the development of Area Forums within the context of the Community Leadership programme	Jane Hibberd Assistant Head of Community Services

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7 Prosperous City Efficient and effective Council	Failure to utilise the corporate programme / project methodology to deliver Council programmes and projects on time, on budget and to quality	Dave Smith Chief Executive	12.83	9.14	Lack of effective programme/ project management leads to: - concerns in relation to the openness and transparency of the bidding process/award - cost overrun - delayed completion - inappropriate/ not fit for purpose design (physical infrastructure and/or internal fabric, furnishings or fittings, etc) - defective workmanship - contractual disputes/ contractual liabilities - project completed but the Council not ready to 'operate' it effectively (e.g. due to problems with staffing or ICT, etc.) - internal/ external investigation of the Council's procedures and arrangements	Cost overruns have to be met from the Council's reserves Adverse publicity Damage to the Council's reputation (across one or more key stakeholder groups including the public). Impact on staff morale (anticipated improvements not delivered)	Programme and Project Office Setting up project budgets Development of tender specification Contract development/ review by Legal with tendering in accordance with European law (OJEU) requirements* Tender evaluation and principal contractor selection in accordance with European law (OJEU) requirements* *These phases undertaken with the active involvement of Procurement Project management through a formally appointed project management team PRINCE2 project management methodology deployed for the documented management of the project/ programme Formal and regular monitoring, reporting and review procedures Ongoing support from Legal, Finance, Procurement and others if/ as necessary to assist resolution of concerns	1	Define a Portfolio approach to programmes and projects to provide a corporate overview	Andrew Seekings Head of Programme & Project Office
								2	Prioritise Corporate projects and agree corporate portfolio	Andrew Seekings Head of Programme & Project Office
								3	Define and roll out a Programme Management methodology	Andrew Seekings Head of Programme & Project Office
								4	Develop training framework for programme management to ensure it delivers the appropriate skills and competencies	Andrew Seekings Head of Programme & Project Office
								5	Complete a P3M3 (Portfolio, Programme and Project Management Maturity Model) self assessment questionnaire and identify areas for improvement.	Andrew Seekings Head of Programme & Project Office
8 Efficient and effective Council	Failure to deliver a major business improvement project in timely and cost effective manner	Dave Smith Chief Executive	11.48	7.50	Business improvement programme fails to deliver the anticipated benefits to the Council as a result of : - cost overrun - delayed completion - programme implications not fully recognised - lack of communication/ assurance of understanding for staff - inadequate/ ineffective programme governance arrangements	Cost overruns Internal 'disputes' among Officers Lack of staff understanding leads either to staff adapting working practices but not in the correct way or to staff being unwilling to embrace the required changes in working practices Adverse impacts on staff morale Unnecessary pressure on staff potentially leading to some members of staff suffering stress (also unplanned absences and staff leaving) Cost/time implications of having to roll further communication and training Potential for adverse publicity and consequent damage to reputation	Programme and Project Office Confirmation of anticipated costs and the non-Council funding streams available if/as appropriate Setting up programme/ project budgets Development of specification for programme/project deployment Project management (including governance) through a programme/ project deployment team PRINCE2 methodology deployed for the documented management of the project/programme Formal and regular project management, monitoring, reporting and review procedures	1	Review governance arrangements for internal Business Improvement Programme (BIP) activities.	Andrew Seekings Head of Programme & Project Office
								2	Review ongoing arrangements for effective communication and consultation with internal teams likely to be affected by the programmes	Andrew Seekings Head of Programme & Project Office
9 Prosperous City Efficient and effective Council	Failure to implement a strategy/ deliver a plan that makes the most efficient/ effective use of land/ property in the Council's portfolio	Janet Johnson Deputy Chief Executive	11.65	8.50	Failure to develop and/or implement an effective/ efficient strategy due to: - lack of knowledge of the land/ property portfolio - ineffective internal communication - difficulties in linking land/property requirements to the delivery of the Sunderland Strategy/ Improvement Priorities - 'conflict' between the best plan from the Council's perspective and limitations imposed by planning requirements Failure to implement the plan in full due to: - effects of the economic downturn - limitations on the Council's own ability to kick start the plan using its own funding - lack of suitable developers coming forward to take advantage of available opportunities	Financial - Increased costs - Failure to achieve anticipated capital receipts - Ongoing costs of failing to achieve anticipated efficiency savings Reputation: - Delayed/ abandoned development opportunities ( e.g. regeneration of existing sites; new housing developments) - Impacts on the achievement of Corporate Improvement Priorities (notably Prosperous City)	Land/property portfolio is now drawn together into one department enabling an integrated approach to be developed A business plan is required and must be approved before new developments are sanctioned (The plan must cover costs to run as well as costs to build and must lay out the benefits that can be achieved) A number of initiatives are in place to protect Council buildings e.g. security team, building security standard, CCTV, asset register	1	Agree Asset Disposal Strategy and report to Cabinet	Colin Clark Head of Land and Property
								2	Agree property rationalisation strategy through Smarter Working Project and asset management action plan coming out of Audit Commission Review of strategic asset management	Colin Clark Head of Land and Property
								3	Complete review of use of community assets and prepare policy for community asset use and transfer	Colin Clark Head of Land and Property
								4	Agree strategic acquisitions policy	Colin Clark Head of Land and Property

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10  Safe City  Improving Partnership Working	Failure to establish and embed an integrated approach to the management of crime and fear of crime	Dave Smith Chief Executive	10.33	5.90	Actual rates of crime increase as a result of: - generally ineffective partnership working between the Council and its partners in relation to the causes of crime - specific failures of policies/procedures, arrangements and initiatives in relation to reducing levels of crime linked to specific causation factors such as drug/ alcohol misuse Fear of crime increases as a result of: - changes in public perception - changes in social demographics	Effects may include: legal challenge, public complaint, increase in crime figures, increase in anti-social behaviour, failure to uphold the Statutory duty. Increasing costs to the Council and/or its partners from responses to criminal activities ( e.g. cost of investigation and clean up) Loss of reputation and political standing Theft of/ deliberate damage to Council property (including by Vandalism) Decrease in public satisfaction	Partnership structures in place for crime including a Board that meets quarterly and a business support group that meets bi-monthly and has responsibility for performance. The Partnership produces an annual Strategic Intelligence Assessment. This identifies victim, offender and location risks within city, current state of crime and increasing types of crimes These analyses are used, in conjunction with partners, to come identify priorities/ areas of focus and action. Programmes are then implemented to address identified priorities e.g. taxi marshal scheme in the city centre, increased CCTV.  The Safer Communities Manager is a member of the corporate risk management group Dedicated in-house security team. Building security standard introduced. The security team is involved early on every new build or refurbishment programme to advise on security measures. Every significant item of Council plant/ equipment has its own individual identification and is recognised on an asset register.	1	Following changes to Section 17of the Crime and Disorder Act 1998 refresh awareness of peoples responsibilities under it	Stuart Douglass Safer Communities Manager
								2	Review internal arrangements for information sharing	Stuart Douglass Safer Communities Manager
								3	Review policy and strategy in relation to crime and fear of crime taking due account of the potential introduction of the duty to reduce reoffending.	Stuart Douglass Safer Communities Manager
								4	Review partnership arrangements to ensure due recognition of their impact on crime and the fear of crime.	Stuart Douglass Safer Communities Manager
11  Prosperous City  Efficient and effective Council	Failure to manage financial pressures	Keith Beardmore Director of Financial Resources	11.46	8.21	(Impacting factors, Government Efficiency targets, Comprehensive Spending Review 2007 settlement etc) Future potential revisiting of 2010 / 11 settlement, Difficult outlook for government grant settlement 2011 / 12 onwards. Impact of Credit Crunch on budget e.g. increased demand for central services ; reduced income in a number of areas. Increased pressure to address Strategic Priorities. Financial implications of addressing growing ambitions of council Equal pay and associated costs. Major projects Sunderland Strategic Transport Corridor (SSTC), Building Schools for the Future (BSF), Strategic Waste	Reduced levels of service delivery in order to meet budgetary requirements/ constraints Selective withdrawal from the delivery of non-statutory services Reduced capabilities to respond to 'emerging' needs/ demands ( e.g. in relation to support services) Potential reduction in the size of the Council's overall workforce Requirements to consider above inflationary increases in Council Tax. Impairment of reputation and political standing	1. Medium Term Financial Strategy 2. Financial Management System (FMS) 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 Constitution and budget management e.g. nominated budget holder agreed and identified in Corporate Improvement Plan (CIP). Provision of adequate financial information aligned to activity where relevant e.g. Financial management System (FMS) Medium Term Financial Strategy (MTFS) updated twice a year	1	Report Medium term financial strategy ( MTFS) to Executive Management Team (EMT) and agree priorities and Budget Planning Framework on an annual basis	Keith Beardmore Director of Financial Resources
								2	Identification of and agreement of efficiency targets for 1. Specific corporate projects 2. Directorate targets on an annual basis	All Chief Officers
								3	Continue to implement \ upgrade Financial Management System (FMS) system to assist in the achievement of business benefits and to support the Business Improvement Programme.	Keith Beardmore Director of Financial Resources
								4	Undertake quarterly review and monitor the effectiveness of the Treasury Management Strategy to protect the Councils assets from the uncertainty in financial markets	Keith Beardmore Director of Financial Resources
								5	On-going review and monitoring of current financial situation to identify any possible financial impacts on Council plans and business	All Chief Officers
								6	Undertake annual review of Directorate Budget Monitoring Processes to ensure the impacts of the current financial situation are immediately highlighted and acted upon.	All Chief Officers
								7	Continue to implement Supplier Relationship Management (SRM)	Keith Beardmore Director of Financial Resources
								8	Continue to implement Business Improvement Programme (BIP) improvement priorities and Sunderland Service Improvement Framework to achieve Benefits Realisation	Andrew Seekings Head of Programme & Project Office

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12 Efficient and effective Council	Inability to match human resources and skills/ abilities to meet the changing organisational requirements	Dave Smith Chief Executive	8.67	6.67	Council unable to train / develop existing employees to gain the required skills to undertake new roles.  Budget cuts and resource constraints within the Council cause downward pressure on salaries making them uncompetitive, causing difficulties with staff recruitment and retention.  Staff shortages/ unplanned absence levels in some areas cause remaining staff to feel under unnecessary pressure (or even stress) and have reduced levels of morale. This can lead to them leaving as well (i.e.. a vicious circle)	On going unfilled vacancies lead to reductions in quality of service delivery Increased costs of recruitment, training and development Reduced morale among existing staff Potential for increased levels of stress and unplanned absence	Corporate Training Programme. Overall employment packages broadly in line with those offered by other public sector organisations in the sub region (While rates of pay for some job roles are a little lower, others are a little higher). Remuneration and benefits packages regularly monitored to ensure that they remain in line with those offered by similar organisations Targeted 'employment package' reviews have been completed to address areas where staff shortages/ levels of turnover have been most severe (e.g. children and adult social care workers) Wide ranging non-pay benefits available to most staff (e.g. flexible working, job sharing) but these are not necessarily communicated as well as they could be. Regular communication and consultation with the recognised trade unions. Ironically existing economic downturn likely to lead both to existing staff remaining and improved levels of response to advertised vacancies.	1	Review arrangements for communicating the details of overall employment packages with staff (e.g. by means of team meetings, performance appraisals, intranet and notice boards, etc.) Ensure that all service development processes consider opportunities to improve the recruitment and retention impact of flexible working options.	Sue Stanhope Director of HR & OD
								2	As has been completed in the past, review potential to complete targeted 'employment package' reviews for those areas where current staff shortages are most critical Prior to implementing any change to the employment package, carry out an analysis of the current situation in relation to retention and recruitment. E.G. what current flexible working opportunities are available and utilised? what other factors might be in play. Use evidence from the Investors in People (IIP) review, stress survey, exit interviews (include ex-employees), focus groups	Sue Stanhope Director of HR & OD
								3	Review and implement workforce development strategy and plan (including wider recognition of succession planning)	Sue Stanhope Director of HR & OD
								4	Ensure recognition within the workforce development strategy of social and inclusion requirements	Sue Stanhope Director of HR & OD
								5	Ensure increased focus on apprenticeships in particular link to "hard-to-fill-roles" with a particular focus on the roles/skills we will need in future years. Consider other recruitment / development routes to support changes emerging from the introduction of the new business operating model and business improvement projects where demand for some skills falls while demand for others rises.	Sue Stanhope Director of HR & OD
								6	Use service improvement projects to identify retraining/ re-deployment opportunities. Where improvement projects are likely to result in downsizing of employees numbers, then we need a process which explores the potential, matches this to needs in "hard-to-fill" or newly developing roles and plans development/redeployment	Sue Stanhope Director of HR & OD
								7	Maximise non financial benefits to position the Council as an employer of choice.	Sue Stanhope Director of HR & OD
13 Efficient and effective Council	Adverse outcome of current legal considerations in relation to Single Status & Equal Pay	Dave Smith Chief Executive	14.00	12.00	Judgement against the Council on the outstanding legal challenges.	Whilst this is very much a financially dominated risk, there are also the risk of adverse publicity, reputation damage and damage to political standing	Council has deployed external legal specialists to argue its case in court (supported by its own in-house legal team) The situation is reviewed every 2 weeks. The Council has sufficient reserves built up to meet its anticipated level of financial liability and a bit more. (However they are not big enough for the worst case scenario). Several strands of work have been/ are being deployed to avoid the potential of future financial liabilities	1	Continue to defend the Council's position through the tribunals and continually review the situation following judgements expected to continue into 2010.	Sue Stanhope Director of HR & OD
14 Efficient and effective Council	Governance arrangements are not adequate to ensure that the Council is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner	Keith Beardmore Director of Financial Resources	8.15	4.07	Actual (and also to some extent also perceived) fraudulent, corrupt or similarly inappropriate acts by Elected members, Officers, staff and other persons acting on the Council's behalf Inappropriate behaviours by Elected Members, Officers and/or other staff Failure to demonstrate adequately that Council's activities are being conducted openly and transparently Failure to demonstrate/account fully and openly for the expenditure of public money	Suspension of the person(s) under suspicion 'of having acted improperly' pending investigation Impact on the functioning of the Council whilst these persons are suspended Management time in conducting a thorough enquiry Damage to Councils reputation with any stakeholders groups specifically involved Potential for the Council to have to pay fines or compensation to persons/ organisations affected Unbudgeted costs Adverse publicity Resultant general damage to the Council's reputation and political standing	Standing orders, delegation of authority protocols and similar policies and procedures Codes of conduct for staff and Elected Members (must sign that they read and understood) Rigorous review of policies and scrutiny of actions by the Council's various Review Committees Centralised arrangements for procurement managed by means of rigorous policy, procedures and arrangements Financial management systems (including procedures/ arrangements for reconciliation and scrutiny of accounts, payments made and expenses, etc. Internal audit activities Rigorous external audit/ scrutiny by/on behalf of Central Government Regular financial reporting to Elected Members Reports etc. made available to the public (e.g. via the Council's website) Annual Governance Review	1	Review arrangements for governance structures established for the implementation of major projects.	Andrew Seekings Head of Programme & Project Office
								2	Ensure governance requirements are highlighted as a key element of the Community Leadership Programme	Phil Spooner Head of Community Leadership Programme
								3	Develop further governance training for Members and officers.	Paul Davies Head of Audit & Procurement



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15 Efficient and effective Council	Failures within the Council to identify/ develop/ implement changes that enable it to meet the challenges of value for money and efficiency savings	Keith Beardmore Director of Financial Resources	11.67	7.81	Cross cutting 'efficiency savings' projects/programmes do not yield anticipated benefits (e.g. due to delayed implementation, initial overestimations, unsuitable implementation, ineffective operation, lack of understanding, changing business/ operating profile, etc). Suitable measures not available to measure accurately the levels of success that have been achieved Directorates/ departments identify opportunities to develop/ implement shared/ outsourced resources and services but are unable to secure the interest/ support of the partners with whom they wish to co-operate. Directorates/ departments identify opportunities but are unable to secure the financial support to put them in place Directorates/ department are unable to identify adequate further opportunities and require to put forward proposals that impact on service delivery standards.	Non-achievement of specific efficiency targets (at levels in the Council) Inability to meet the overall target leading to requirements to rework the budget overruns ( with consequent effects on service delivery) Requirements to consider increasing Council tax by a higher than anticipated amount Acceptance that service delivery standards need to change Potential impacts on the delivery of statutory duties Job losses within/ across the Council Adverse publicity (including via the media) Adverse effects on staff morale/ productivity Adverse impacts on reputation with stakeholders and on political standing Too much resource is used on bureaucratic process rather than delivering significant change.	Manifold project/programmes still being 'rolled out' should make on-going contributions towards the achievement of efficiency savings in specific areas and/ or across the Council as a whole. 'Tight/loose' approach to budget setting for 2009/10 (i.e. senior managers initially being set a very stern challenge but being able to achieve 'a relaxation' in area(s) of their responsibilities if they are able to put forward a strong enough business case (e.g. demonstrate that a likely increase in demand for service will occur; schemes are in place but they will not become fully effective straightaway, etc.) Well established and robust approaches to budget setting and monitoring - have (and will continue to) enable(d) early intervention in areas where there are indications of severe strain in the budgets Various existing examples of interdirectorate co-operations and a few existing examples of successful co-operations with external partners. These are indicative of the potential for future success (as the pressure for innovation continues)	1	. Develop delivery plan to implement council's new Business Operating Model	Andrew Seekings Head of Programme & Project Office
								2	Develop and implement Comprehensive Area Assessment improvement plan in response to use of Resources self assessment	Sarah Reed Assistant Chief Executive
								3	Improve skills of council employees in relation to customer care and avoidable contact	Andrew Seekings Head of Programme & Project Office
								4	Implement Local Area Plans to ensure value for money considerations at an area level	Vince Taylor Head of Strategic Economic Development
								5	Introduce council wide self assessment model to support strategic planning process	Sarah Reed Assistant Chief Executive
								6	Review medium term financial strategy to support operating model and delivery of key projects	Keith Beardmore Director of Financial Resources
								7	Implement commissioning strategy.	Paul Davies Head of Audit & Procurement
								8	Implement revised procurement strategy - ensuring an appropriate balance between procuring locally and managing the Council's finances effectively.	Paul Davies Head of Audit & Procurement
16 Efficient and effective Council	ICT strategy and operational focus are not yet fully aligned to the needs and requirements of the Council and its partners	Dave Smith Chief Executive	12.25	8.92	Council/ directorate/ department/ partner ICT requirements and priorities are not clearly defined (e.g. they struggle to express what they want, they do not understand what can and cannot be provided from a technical perspective) Council/ directorate/ department/ partner ICT requirements and priorities are conflicting/ not sustainable/ cannot be delivered cost effectively (e.g. the 'ideal technical solution' to best meet everyone's needs would require the deployment of manifold operating platforms/systems and/or bespoke solutions) Council/ directorates/ departments/ partners finally define their ICT requirements and priorities but have changed them by the time ICT directorate is able to develop and provide solutions to them Difficulties in defining / delivering the most appropriate balance of ICT services (e.g. between hardware/ infrastructure/ connectivity development and maintenance, software development, upgrading and maintenance, staff training and development, data/ information security, disaster recovery/ business continuity) Difficulties in establishing and delivering clear strategic priorities in the light of the above (i.e. cannot satisfy all of the people all of the time) Budget/ staff/ physical resource limitations	Loss of efficiency/ effectiveness at Council/ directorate/ department level due to for example: - Ongoing use of sub optimal software/ applications - Service interruptions (due to hardware/ software breakdowns/overloads, etc.) - Unnecessary/repetitive data entry, handling, manipulation and storage - Loss/ corruption of data - Lack of staff awareness/ training - Inadequate/ out of date disaster recovery (DR) and business continuity management (BCM) arrangements and plans - DR and BCM arrangements and requirements not understood by managers and staff - Council's ICT systems are not compatible with those of its partners (or indeed in some cases are not compatible within the Council itself)	Head of ICT is seeking to embed a priority driven approach and supporting culture ( i.e. focus on completing the priorities) Extensive consultations still taking place to ensure that the correct priorities are identified and realistic timeframes set and understood for their solutions to be implemented) Resources (people, physical and financial) in place and focussed on the delivery of the priorities Whilst there is always room for improvement (and an update/ replacement programme is recognised), most parts of the Council's hardware, infrastructure and connectivity are fit for purpose. Same is broadly true for its applications and software. In consequence levels of system availability remain (and will continue to be) generally very high Disaster recovery arrangements and Business Continuity Plans in place, are maintained and have been tested and communicated Staff training and support Arrangements for data protection and security ( external and internal)		Delivery of the ICT Technical Blueprint to support the Business Improvement Programme (BIP) and facilitate the implementation of the Business Operating Model. Including delivery of the following 7 enabling projects (EP)	
								1	EP5 Infrastructure SAP / ICT (To ensure servers are fit for purpose)	Tom Baker Head of ICT
								2	EP6 Business Warehouse (BI) (Information storage)	Tom Baker Head of ICT
								3	EP13 VOIP (Voice over internet protocol)	Tom Baker Head of ICT
								4	EP14 E-procurement (Supplier Relationship Management (SRM))	Tom Baker Head of ICT
								5	EP3 Interim Customer Contact Solution (ICCS) - Phase 2 - Review migration to Sunderland Contact Centre network	Tom Baker Head of ICT
								6	EP11 Performance Management (IT system implementation)	Tom Baker Head of ICT
								7	EP12 E-payments (cash receipting replacement )	Tom Baker Head of ICT
								8	Identify additional ICT skills required to deliver corporate ICT strategy and directorate road maps	Tom Baker Head of ICT
								9	Ensure ICT strategy recognises partnership working requirements	Tom Baker Head of ICT
								10	Deliver an action plan to address gaps in ISO 27001 compliance	Tom Baker Head of ICT
								11	Review arrangements re updating, testing and communicating BCM arrangements. In particular, consider activities to promote/confirm local plans and arrangements for IT Disaster recovery	Tom Baker Head of ICT
								12	Further develop a Business Continuity managed solution to reflect business needs for required infrastructure and critical functions	Tom Baker Head of ICT
								13	Investigate systems to prevent unauthorised data downloads	Tom Baker Head of ICT
								14	Consider use of secure removable devices and audit tools	Tom Baker Head of ICT
15	Continue to migrate away from legacy problems/ ageing system architecture.	Tom Baker Head of ICT								

Risk No CIP	Risk Issue	Risk Owner	Inherent Risk Score	Residual Risk Score	Causes/ triggers	Effects	Key existing controls	No	Potential additional/ strengthened controls	Action manager
								16	Investigate file-store increase as an interim measure. Replace existing server with new multi server configuration for higher levels of resilience	Tom Baker Head of ICT
17	Difficulties in achieving health inequality targets and closing the gap on related performance targets/ standards in relation to high profile areas	Dave Smith Chief Executive	11.86	8.47	Failure to improve standards and meet performance targets for key national indicators - Potential causes of such failure could include: - Lack of defined/ effective mechanisms/ programmes through which to deliver improvements - Failure by the Council and/or its partners to deliver effective contributions (whether doing so alone or in partnership) - Lack of robust/ reliable/ meaningful data either in relation to current position and/or any improvements made. - Failure to communicate and engage with the appropriate target groups - Inappropriate and/or conflicting messaging - Inability to offer effective solutions/ opportunities - Impact of economic downturn e.g. leading to reduced employment opportunities and increasing levels of disengagement among target groups Failure to embed the approach of the World Health Organisation (WHO) into the thinking of the Council.	Failure to achieve the targeted outcomes/ levels of improvement in the health and wealth of the community Continuing 'disappointing' performance against key National Indicators Adverse effects on the results of the Comprehensive Area Assessment scheme Adverse impact on the reputation of the Council and its partners Adverse impact on the Council's political standing Funding and advice from the World Health Organisation (WHO) is lost	Healthy City' thematic group set up under the Sunderland Partnership Close working with NHS South of Tyne and Wear (but this partner is not co-terminus) Integrated working by Council and partners across several initiatives/ programmes to encourage people to take more responsibility for their health and fitness (i.e. a focus on prevention rather than treatment) supported by: - Excellent health facilities/ services, many offering advice/ guidance as well as treatment - Recreational facilities to enable people to improve their fitness and/or to participate in sport - Targeted education programmes/ initiatives across primary and secondary schools (including provision of 'healthy' school meals) Similar integrated working by Council and partners to provide education, training and employment opportunities for young persons e.g. two WNF funded projects to get young people involved in apprenticeships and other activities to get them ready for work. Data gathering and analysis to provide current 'state of health' statistics for local community. There is a report currently being developed on where the approach of the World Health Organisation (WHO) should fit within the Council.	1	Ensure that the overall long term targets to improve health of the city are supported by stretching but achievable interim targets. embedded within the Local Area Agreement Sunderland Strategy and Comprehensive Area Assessment	Nonnie Crawford Director of Public Health
								2	Healthy City Partnership to identify for each target, stretching but achievable interventions	Nonnie Crawford Director of Public Health
								3	Develop a more sophisticated approach to address areas of specific disadvantage to reduce inequalities within Sunderland	Nonnie Crawford Director of Public Health
								4	Ensure alignment of all sub groups with responsibility for delivering specific health targets	Nonnie Crawford Director of Public Health
								5	Through the workings of the Healthy City Partnership obtain a better understanding of resources available across the city	Nonnie Crawford Director of Public Health
								6	Implement proactive health checks including cardiovascular risk assessments for 40-75 year olds	Nonnie Crawford Director of Public Health
								7	Review the types of interventions that can be implemented to address alcohol misuse	Nonnie Crawford Director of Public Health
								8	Continue to monitor and plan for the development and spread of the H1N1 strain of influenza.	Nonnie Crawford Director of Public Health
18	Fail to fundamentally reduce child poverty levels in Sunderland	Helen Paterson Executive Director Children's Services	11.48	9.17	National Policy to halve child poverty by 2010 and end child poverty by 2020. Target is judged by the standard measure of relative income poverty, which is based on the number of children living in households with less than 60% of median income after housing costs are taken into account. The figures are also adjusted to take account of whether or not the children are living with a lone parent. Key triggers are recognised as including: -Employment (e.g. workless households, lone parent not working, both parents not working) - in receipt of income support -Ethnicity -Number of children in family (four or more) -Local authority tenure -No savings -Low attainment Targets within basket of indicators including: -Material Deprivation & Low Income Poverty indicator. -Relative Poverty Indicator. -Absolute Poverty Indicator. Availability of/ ability to share household data and health data to support indicators. Currently 70% of poverty in Sunderland is within lone parent families. There is correlation between attainment gaps within the city and areas of deprivation. There are high level of teenage conception rates in Sunderland and high levels of malnutrition	Continuing health risks and education concerns in the Council's jurisdiction (linked to poverty and other indices of deprivation) Undermining/ non-achievement of multiple key outcomes of the Sunderland Strategy (e.g. linked to the healthy city, learning city and attractive and inclusive city themes) Potential enquiries into the Council's performance Adverse publicity Damage to reputation and political standing Sub standard private housing Fail to meet statutory duty for child poverty targets. Fail to meet basket of indicators for Child Poverty. Children lack experience/ opportunities. Children are exposed to severe hardship and can become socially excluded. Fail to break down the cycle poverty -deprived children tend to become deprived adults and deprived adults tend to produce deprived children. Damage to society and local communities. Extra burdens and cost on public services, limiting the UK's economic potential. Families do not take up benefits which are available to them. Non achievement of Every Child Matters outcomes. Communities do not recognise the impacts and im Attainment levels do not increase. Increased levels of lone parents in poverty.	Thematic groups established under the Sunderland Strategy and working towards defined objectives/outcomes including through the Local Area Agreements. Ongoing service planning and delivery by Children's Services Directorate (including children's social care and education) Ongoing service planning and delivery by Adult Services, Health and Housing Directorate Ongoing service planning and delivery by Revenues and Benefits team Child Poverty Board established Lead from Local Strategic Partnership and Sunderland Learning Partnership.	1	Establish a Strategic Partnership	Raj Singh Assistant Head of Service, Child Poverty
								2	Conduct research to establish baseline assessment of child poverty and current levels in Sunderland.	Raj Singh Assistant Head of Service, Child Poverty
								3	Formulate a Child Poverty Model.	Raj Singh Assistant Head of Service, Child Poverty
								4	Put in place a Strategic Implementation Plan setting out the Sunderland Model.	Raj Singh Assistant Head of Service, Child Poverty
								5	Align actions with regional policy group on child poverty (coalition)	Raj Singh Assistant Head of Service, Child Poverty

Risk No CIP	Risk Issue	Risk Owner	Inherent Risk Score	Residual Risk Score	Causes/ triggers	Effects	Key existing controls	No	Potential additional/ strengthened controls	Action manager
19 Improving Partnership Working	Failure by the Council and/or its strategic partners to understand, embrace and evidence progress towards the outcomes of the Sunderland Strategy and Local Area Agreements and, in the nearer term, to meet the challenges of the Comprehensive Area Assessment	Dave Smith Chief Executive	10.56	7.17	Council is unable clearly, openly and unambiguously to demonstrate progress toward achievement of Improvement Priorities and outcomes of Sunderland Strategy and Local Area Agreement e.g. as a result of: - Lack of communication/ understanding of the outcomes and how they can be measured - Conflicting priorities in relation to the delivery of the outcomes leading to misallocation of resources. - Focus on activities that do not contribute towards the achievement of the Improvement Priorities - Inability/ unwillingness /confusion to establish and embrace new ways of working to deliver the outcomes - Continuing difficulties in engaging with hard to reach groups Weaknesses in the systems for collecting, analysing and/or reporting data: - Data availability and reliability - Data security and problems with data transfer - Outcomes related to 'customer perceptions' which are hard to measure and evidence value added - Continuing lack of clarity around how Comprehensive Area Assessments (CAA) will be carried out and the confirmatory evidence required to demonstrate progress - Potential to be judged in an unbalanced manner	Short term: - Adverse effects on the outcome of the 2009 Comprehensive Area Assessment - Council loses its status as one of the best performing Councils in the country - Adverse impact on staff morale - Dilution of resources (Partners correctly have to investigate (internally) what went wrong but whilst they are doing so progress towards outcomes is stalled) - Reduced levels of trust/ confidence across/ between strategic partners - Closer scrutiny by central government - Requirements to undertake further public consultation - Adverse publicity - Damage to reputation and political standing Medium/long term: - Delays in the delivery of Improvement Priorities - Some outcomes not delivered to maximum effect or worse are not delivered at all	Sunderland Partnership long established body (predating the Government white paper) with a good history of co-operative working. Ongoing restructuring to ensure Sunderland Partnership continues to be fit for purpose. Sunderland Strategy and local area agreements developed following extensive consultation and with active involvement of private and third sector partners as well as other public sector partners. Sunderland Strategy, local area agreements and thematic partnerships extensively communicated and discussed and are considered to be understood and accepted by partners. Relevant performance indicators (national and local) developed, agreed and communicated. There are 33 priority indicators. Partnership has been managing delivery of projects funded by the Neighbourhood Renewal Fund (NRF) since 2004 and is now managing projects under the Working Neighbourhood Fund (WNF) Arrangements in place to gather and analyse data relevant to most agreed performance indicators	1	Ensure the topic/ requirements are fully covered within the Community Leadership Programme	Phil Spooner Head of Community Leadership Programme
								2	Continue to review the quality and timeliness of data received and analysed in support of National and/or agreed local indicators, in particular the data being provided by partner organisations	Sarah Reed Assistant Chief Executive
								3	Establish targets/ outcomes where there are no current indicators	Sarah Reed Assistant Chief Executive
								4	Ensure co-ordinated response to the initial findings of the Audit Commission's report, in particular to follow up on any identified red flag items	Sarah Reed Assistant Chief Executive
								5	Improve Thematic / Cross Cutting Partnerships to ensure that they are fit for purpose to deliver Local Area Agreement targets and Sunderland Strategy	Sarah Reed Assistant Chief Executive
								6	Review and challenge the Sunderland Strategy / Local Area Agreement / Multi Area Agreement delivery plans to ensure that they are comprehensive and robust to reduce the deprivation gap: 1) between areas within Sunderland 2) between Sunderland and the national average.	Sarah Reed Assistant Chief Executive
								7	Identify a resource framework for each target within Local Area Agreement / Sunderland Strategy	Keith Beardmore Director of Financial Resources
20 Healthy City	Failure to find and/or implement suitable arrangements to meet the City's waste collection, management and disposal requirements	Ron Odunaiya Executive Director City Services	12.38	7.78	The key current risk is uncertainty around determining a suitable site within which to locate the long term waste disposal/ treatment solution. However a site must be identified before the Partnership can go out to open tender for a solution. There is recognition that a suitable site must be identified in early 2009 to enable the solution to be delivered within the required timeframe. There is concern that, as the economic recession continues to bite, there may be fewer organisations willing to make a response to the tender, reducing the breadth of alternative solutions and other competitive dimensions. Over time further issues linked to this risk will become paramount as the project status evolves e.g. around identifying the best solution, putting in place a suitable contract and subsequently managing that contract to deliver an effective solution on time and within budget. Continuing expressions of public dissatisfaction and /or ongoing health and safety concerns. Potential for capital cost implications to exceed current estimates. Adverse effects on current kerb side collection contract	Key current effect is one of impact on reputation and political standing not only with the local community but also with Regional /Central Government if decision making is delayed. If the partners cannot reach agreement, each Council may have to look at the identification and implementation of its own solution, an outcome that is likely to lead to substantially increased cost implications for each. Longer term time, cost and reputation effects may emerge if/as the project proceeds Increased time/ effort on managing the current kerb side collection system.	The Partnership's financial, legal and technical teams have been working together successfully and, in particular, the partnership's technical review is close to completion. Work done so far (and work in the next few months) supports both the assembly of an effective tender document and the subsequent review of the responses received to that tender. A communication strategy is being delivered. Well established arrangements for the management of the current kerb side collection contract. Procurement for a kerb side collection system will ultimately be in accordance with European law (OJEU) requirements	1	Partnership to agree on a location for the site and obtain the required planning permission	Peter High Project Director Strategic Waste
								2	Council to decide if Short-term Waste Recovery contracts or purchase of Landfill allowance trading scheme (LATS) provides better value for money pending procurement of a long term solution	Peter High Project Director Strategic Waste
								3	New waste management arrangements to be introduced including: • New recycling arrangements • New Contract for green waste • New Contract for recyclables • Landfill arrangements	Peter High Project Director Strategic Waste
21 Improving Partnership Working One Council	Difficulties in ensuring that Sunderland's viewpoint is expressed, recognised and acknowledged within international, national, regional and/ or sub regional forums.	Dave Smith Chief Executive	8.67	6.37	Change in the balance of regional/ sub regional partnership working	Citizens of Sunderland do not receive (actual or perceived) fair treatment from regional/ sub regional agreements Missed/ not fully taken opportunities (development, funding, other new initiatives ) Adverse publicity Impact on reputation and political standing	Active on-going participation of Elected Members and Officers in regional and sub regional committees and other forums Sunderland City Council representatives taking leading roles in several regional /sub regional groups	1	Ensure Sunderland is a proactive player in Multi Area Agreements (MAAs), in particular to identify and secure support for appropriate local projects	Sarah Reed Assistant Chief Executive
								2	Finalise the analysis of Member / officer representation on external bodies to identify where further representation is required. Link these findings to the Community Leadership Programme.	Sarah Reed Assistant Chief Executive
								3	Work with partners to secure their greater involvement in appropriate sub regional/ regional groups etc.	Sarah Reed Assistant Chief Executive
								4	Review Partnership links within the sub region & region to maximise opportunities for Sunderland	Sarah Reed Assistant Chief Executive
								5	Further develop effective working relationships with regional partners including Government Office North East (GONE) and Audit Commission to allay any perception issues	Sarah Reed Assistant Chief Executive



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								6	Ensure all workstreams of Regional Improvement and Efficiency Partnership (RIEP) are supported and opportunities for Sunderland are maximised	Sarah Reed Assistant Chief Executive

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22 Improving partnership working	Failure by the Council and/or its strategic partners to fully engage and maximise the advantages with working in partnership with the Third Sector to deliver the outcomes of the Sunderland Strategy and Local Area Agreements	Ron Odunaiya Executive Director City Services	8.80	6.53	Failure (by the Council and/or its partners) to recognise/ understand third sector organisations and the contributions that they can make Reluctance to involve third sector organisations in delivery as a result of concerns (real or perceived) in relation to their governance arrangements, financial standing, financial controls, resource levels and/or capabilities, etc. Third sector organisations seek to support the delivery of outcomes but fail to do so as a result of lack of support from other partners	The achievement of objectives/ outcomes of the Sunderland Strategy is undermined as a result of a lack of support by/ encouragement of third sector participation. Persons working for third sector organisations become frustrated/ lose interest/ reduce their level of involvement National indicators are adversely affected	Third sector organisations were involved in the development of the Sunderland Strategy and continue to be recognised as key players in the delivery of the strategy and its outcomes through their on-going involvement in the Partnership, area committees and thematic partnerships. Council continues to offer advice and support Third sector organisations delivering projects/programmes with support via Working Neighbourhood Fund (WNF) etc.	1	Establish a Community Development Exchange for Community Development Practitioners; Council, Sunderland Partnership organisations and Voluntary Community Sector (VCS) organisations	Jane Hibberd Assistant Head of Community Services
								2	Secure sign-up to the Sunderland Compact and operate in a 'Compact Compliant' manner;	Julie Gray Head of Community Services
								3	Development of a Corporate Commissioning and Resource Framework for the Voluntary Community Sector (VCS);	Jane Hibberd Assistant Head of Community Services
								4	Review of community assets to determine long term strategy.	Jane Hibberd Assistant Head of Community Services
23 Learning City	Inadequate preparation to support the transfer of responsibility for 16-19 funding from the Learning and Skills Council (LSC) to Local Authorities in 2010	Helen Paterson Executive Director Children's Services	9.67	5.28	Detailed proposed changes to machinery of government with regard to the creation of an effective system to deliver the learning entitlement to 16-19 year olds. Changes include the transfer of £7 billion of annual revenue funding to local authorities from Learning and Skills Council from 2010/11. This should contribute to reducing levels of skills shortages in the UK through ensuring young people can achieve well through education and training. There is currently a lack of clarity regarding the transition, in particular for funding arrangements, support availability, resource allocation and proposed infrastructures. This level of uncertainty is currently restricting the Council 's ability to forward plan.	Sunderland unable to influence regional and sub regional decisions. Sunderland is not consistent in relation to timing and process with other Local Authorities within Sub Regional Group. Fail to align children and young people learning with adult learning. Unable to respond quickly and effectively to future changes from central government. Insufficient challenge through Children's Trust. Settlements for learning providers insufficient to meet needs. Roles and responsibilities are not undertaken. Governance arrangements are not robust. TUPE transfer fails to bring appropriate skills to the Council. Fail to allocate sufficient funding for staff following TUPE transfer. Ability to manage staff if based in North Tyneside Shared Service. Fail to secure funding for 16-19 learning in Sunderland. Fail to reduce NEET (Not in Education, Employment of Training) figures. Lack of trust between providers and local authority. Damage to existing collaboration and partnership working.	Tyne & Wear and Northumberland Sub Regional Group (SRG) which provides a forum for local authorities to work and plan together. Thematic sub groups e.g. Learning Difficulties and Disabilities (LDD). Shadow Regional Planning Group. Regional Planning Forum. Sunderland's Machinery of Government Project Board meet each month to direct the Sunderland Machinery of Government (MOG) project. North East Interim Regional Planning Group (RPG) established to facilitate the transition of the 16-19 commissioning arrangements. Accountable body for proposed Sub Regional Group Shared Service is North Tyneside Council. The purpose of the shared service is to support each Local Authority and the Sub Regional Group in enacting commissioning decisions. The Young People's Learning Agency (YPLA) and National Apprenticeship Service (NAS) are 2 organisations set up to support the transfer. 14-19 Partnership Children's Trust Children's Services Leadership Team & Cabinet	1	Define regional and sub regional working arrangements and protocols including conflict resolution	Lynda Brown Head of Standards, Children's Services
								2	Produce a project plan to support the tracking and transition years	Lynda Brown Head of Standards, Children's Services
								3	Identify demand and plan provision to meet needs of young people (Sept Guarantee)	Lynda Brown Head of Standards, Children's Services
								4	Set out commissioning plan to achieve growth targets in participation for September 2010	Lynda Brown Head of Standards, Children's Services
								5	Develop a communications strategy and plan to ensure adequate engagement with Sunderland Providers of post 16 learning.	Lynda Brown Head of Standards, Children's Services
								6	Agree responsibilities with sub regional network for performance management and quality assurance to ensure that the system raises standards for young people	Lynda Brown Head of Standards, Children's Services
24 Prosperous City	Failure of the Council to deliver the Sunderland Strategic Transport Corridor (SSTC) in timely and effective manner	Ron Odunaiya Executive Director City Services	12.43	8.66	Delay in the decision making process to agree the most effective mechanism of programme fulfilment (notably in relation to the selection/approval of a bridge design). Difficulties in facilitating the timely and cost effective execution of the project e.g. due to: - difficulties in site availability and/or preparation (any part of the route) - difficulties in bridge design, in particular if an iconic design is chosen - technical difficulties in bridge construction. again in particular if an iconic design is chosen - 'substandard' performance by primary contractor (including by the primary contractor's subcontractors and suppliers)	Project overrun Increased costs Impairment of reputation and political standing	An engineering feasibility study is to be completed. This will evaluate both the requirements to build the proposed design of iconic bridge and its subsequent structural integrity. Rigorous evaluation and selection of principal contractor Project management and monitoring by Council and principal contractor throughout construction phase	1	Produce a report in regard to the selection options for the proposed new bridge	David Abdy SSTC Interim Project Director
								2	Submit Planning Application	David Abdy SSTC Interim Project Director
								3	Finalise concept bridge funding strategy	David Abdy SSTC Interim Project Director
								4	Submit Compulsory Purchase Orders to Gov Office North East	David Abdy SSTC Interim Project Director
								5	Develop draft Procurement Strategy	David Abdy SSTC Interim Project Director
								6	Develop draft Consultation / Communication Strategy	David Abdy SSTC Interim Project Director

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25 Prosperous City	Failure to deliver the key physical regeneration projects, including the City Centre and the Sea Front	Janet Johnson Deputy Chief Executive	13.01	10.00	Lack of demonstrable progress on several high profile developments. Vaux site is arguably the most high profile Arc development Its progress is delayed because the site remains under third party ownership. No progress has been made as the owner's development plan is not consistent with the Arc's development plan. Bids to buy the site have been made but the owner has not accepted them. The development (or rather the lack of it) has been the subject of ongoing adverse regional publicity. Potential development of other sites (e.g. Farringdon Row and Holmeside) facing further delay resulting from developers' lack of interest, probably linked to current economic downturn. Acting on its own Council has some success (e.g. Rainton Bridge) but space remains empty here following a private sector business' decision not to relocate. Going forward, development of the Seafront (Roker and Seaburn) will be an opportunity/ challenge for the Council. It is recognised as a natural asset with potential to bring in revenue through tourism and leisure.	Direct link to the achievement of the improvement priority through: - Lost opportunities to access funding - Reduced levels of inward investment - Constrained ability to attract both visitors and new commercial ventures - Ongoing constraints to the city's attractiveness/ ongoing 'blight' in most affected areas - Continued negative 'external image' - Reduced levels of aspiration for the community - Loss of specific development opportunities (e.g. the construction of new County Court facilities as a centrepiece for the Vaux site. )	Current Council Member and Office leadership have embarked on programme of re-engagement with the Sunderland Arc. Various initiatives being taken to overcome specific obstacles to development and regeneration e.g. consultations re the development of the Seafront will commence during 2009.	1	Review potential for other partners in the Sunderland Strategy to work with the Council and the arc to identify options to kick-start interest in the regeneration/ development opportunities	Janet Johnson Deputy Chief Executive
								2	Deliver and monitor the Sunderland ARC (Urban Regeneration Company) business plan	Janet Johnson Deputy Chief Executive
26 Prosperous City	The Economic Master Plan and/ or Single Investment Plan is not fit for purpose	Dave Smith Chief Executive	12.99	9.14	Decisions on economic development and regeneration are made in silo on a project by project basis and are not adequately informed in light of the Sunderland Strategy. Failure of the economic master plan to adequately link to the Sunderland Strategy Over reliance on the economic master plan. Master plan fails to inform decisions effectively	Opportunities to deliver the Sunderland Strategy are not implemented/ are not maximised. Other 'opportunities' that do not support the Strategy are pursued The City fails to diversify its employment base Negative effect on performance targets.	Dedicated team (under the leadership of Vince Taylor, Head of Strategic Economic Development) is pulling the economic masterplan together in accordance with the objectives and deliverables of the Sunderland Strategy. The team is consulting extensively with partners to ensure that the output recognises their inputs as well as those of the Council itself. There will be extensive communication of the document to ensure that it is made available for use by Elected Members, officers and management team in partner organisations.	1	Review/ develop the communication strategy for the Economic Masterplan that ensures effective engagement with partners and stakeholders.	Vince Taylor Head of Strategic Economic Development
								2	Consultants to carry out an in-depth and mature assessment of the Sunderland economy and its physical development and public realm	Vince Taylor Head of Strategic Economic Development
								3	Consultants to indicate potential directions in which the City's economy should be encouraged to develop. The options should be referenced against a projection for the future of Sunderland's economy based on current and emerging plans and evidence. (i.e. a baseline position)	Vince Taylor Head of Strategic Economic Development
								4	Consultants to identify the strategic objectives to support development of the economy Each objective should include the key economic interventions and associated physical developments required, and an assessment of deliverables with project prioritisation and milestones	Vince Taylor Head of Strategic Economic Development
								5	Consultants to undertake an In depth analysis of specific challenges and opportunities facing the city, including a City Centre Strategy.	Vince Taylor Head of Strategic Economic Development
								6	Implement the current review of governance arrangements for the city centre to provide a co-ordinated approach for future development	Vince Taylor Head of Strategic Economic Development
									Actions identified to support 'quick wins' for the local economy are outlined below	Lee Cranston Assistant Head of Corporate Policy
								7	Review the effectiveness of the single point of contact for initial business help enquiries in the city.	Lee Cranston Assistant Head of Corporate Policy
								8	Review the effectiveness of the business support services in the city.	Lee Cranston Assistant Head of Corporate Policy
								9	Continue to promote advice for businesses in the city on how to reduce the impact of the recession	Lee Cranston Assistant Head of Corporate Policy
								10	Continue to promote the availability of Small Business Rate Relief	Lee Cranston Assistant Head of Corporate Policy
11	Introduce measures to the council's procurement practices that will enable small, local businesses to access council contracts more easily.	Lee Cranston Assistant Head of Corporate Policy								

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								12	Continue to develop and implement a promotional campaign to attract leisure visitors to the City.	Lee Cranston Assistant Head of Corporate Policy

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								13	Continue to roll out the measures set out in the Working Neighbourhoods Strategy.	Lee Cranston Assistant Head of Corporate Policy
								14	Develop proposals to double the number of young apprentices recruited by the council and work with other public and private sector partners to increase the number of apprenticeship opportunities available in the city.	Lee Cranston Assistant Head of Corporate Policy
								15	Work with partners to produce a comprehensive guide to the benefits available through the council and other sources	Lee Cranston Assistant Head of Corporate Policy
								16	Review the 'Handy tips' guide which sets out advice that may enable people to minimise the impact of the recession.	Lee Cranston Assistant Head of Corporate Policy
								17	Organise a series of money advice sessions that provide access to specialist, independent advice services to be delivered in local community facilities.	Lee Cranston Assistant Head of Corporate Policy
								18	Review the 'In and Out of Work' pilot initiative.	Lee Cranston Assistant Head of Corporate Policy
								19	Promote and provide advice on the government's mortgage support products.	Lee Cranston Assistant Head of Corporate Policy
								20	Accelerate the consideration of the Local Housing Company option.	Lee Cranston Assistant Head of Corporate Policy
								21	Review the schedule of planned capital projects with the purpose of identifying those that can be brought forward.	Lee Cranston Assistant Head of Corporate Policy
								22	Encourage the employment of local labour and local businesses by identifying opportunities to increase the use of the 'local labour clause' in appropriate council tenders to	Lee Cranston Assistant Head of Corporate Policy
27	High profile or widespread failure to meet obligations and expectations linked to the Council's responsibilities for safeguarding children and young people	Helen Paterson Executive Director Children's Services	11.93	7.04	A high profile incident of abuse against a child or young person. Critical external audit/ review report Failures by the Council and/or its partners ( e.g. NHS Trust, police, schools) in 'the Children's Trust' to observe and/or report and communicate potential incidents of abuse Inappropriate response by the Council and/or its partners to incidents that are reported Fail to recruit and retain qualified social work staff. Lack of documentary evidence of actions that have been taken or decisions made (possible outcome from a critical external audit). Inadequate levels of supervision and management of services delivered	Damage to reputation with any/all stakeholder groups. Loss of public confidence Public inquiry (and diversion of management time into this process) Increased stress/ reduced motivation within staff Efficiency losses (with consequent budgetary impacts)	Current policies and procedures in place include: quality assurance processes, independent review officers, action plans, integrated children's system, increased number of children's social workers (from 56 to 70), performance reviews, safeguarding board established, a robust recruitment and retention strategy in place. Director of Children's Services has requested that all current cases are to be audited (prioritised in terms of vulnerability of children). Approximately 600 cases remaining. Hoping to complete remaining cases on a sample basis. All Local Authorities and Health providers completed an audit in 2003. Sunderland have revisited this audit and prioritised actions using RAG ratings. Procedures and practices to minimise risk to vulnerable unborn babies have been improved.	1	Implement Safeguarding Business Improvement Project (BIP) which focuses on case management.	Phil Taylor Children's Service Strategy Implementation Manager
								2	Work with central Performance Improvement Team to strengthen quality assurance framework	Janet Newton Safeguarding and QA Manager
								3	Move initial assessments to Initial Response Teams	Meg Boustead Head of Safeguarding
								4	Prepare for new unannounced Ofsted inspections for Initial Response Teams	Meg Boustead Head of Safeguarding
								5	Sub Group of Sunderland Safeguarding Children's Board are offering challenge to Social Care performance and quality (to be completed on an annual basis)	Jan Van Wagtendonk Chair of Sunderland Safeguarding Board



Risk No CIP	Risk Issue	Risk Owner	Inherent Risk Score	Residual Risk Score	Causes/ triggers	Effects	Key existing controls	No	Potential additional/ strengthened controls	Action manager
28 Healthy City Efficient and effective Council	Failure to maximise the availability and productivity of employees	Dave Smith Chief Executive	10.65	8.07	<p>Unplanned absence levels:</p> <ul style="list-style-type: none"> <li>- vary between/ across differing areas of the Council.</li> <li>- There are some known hot spots.</li> <li>- Concerns may be split between employees with recurring short term absences and those with a single long term absence.</li> <li>- Statistics indicate that it can be very difficult to get employees back into long term effective working if an employee is absent from work for more than 4 weeks.</li> <li>- Potential for unplanned absence levels to increase if the level of staff morale drops as a result of the uncertainties linked to the current economic downturn.</li> <li>- Incomplete/ inconsistent implementation of standards/ requirements around performance management and training and development policies</li> <li>- Ineffective change management</li> <li>- Occurrence of serious injury or ill-health to an employee or third party (including members of the public)</li> </ul>	<p>Pain and suffering to employees, lost time, service interruption, time/ costs of investigation and increased costs of Employers' Liability insurance</p> <p>Injury (emotional or physical) to staff, increasing absence and reducing staff morale.</p> <p>Claims against the Council's Employers' Liability Insurance Policy</p> <p>Potential for enforcement action under health and safety legislation</p> <p>Direct costs of repairing/ replacing Council plant/ equipment/ building fabric</p> <p>Indirect costs from diversion of management into incident investigation and reporting</p> <p>Increased costs of insurance</p> <p>Damage to Council's reputation</p> <p>Reduced levels of staff morale/ job satisfaction</p> <p>Consequent reductions in efficiency and effectiveness</p> <p>Increased levels of staff turnover/ linked additional costs of recruiting and training replacements</p>	<p>A comprehensive absence management policy, with supporting arrangements and procedure is in place and staff have been trained in its implementation. However, the level/effectiveness of its application is patchy.</p> <p>Pilot project with the health service and funded by PCT: health checks to identify and track key health stats with 'key risk groups' and then offering focused services to address their health issues. This is being done jointly with Gateshead and will target key occupational groupings (e.g. middle aged men who don't regularly visit their GP).</p> <p>Absence management is one of the Business Improvement Projects (BIP). Focus group activities found a correlation between company 'hot spots' and levels of takes up on appraisal.</p> <p>H&amp;S policy, organisation and arrangements are in place and considered robust. Wide ranging programmes of risk assessments completed with arrangements in place for their updating and/or augmentation as necessary. EL and PD insurance policies in place and claims against them carefully monitored to pick up trends and prompt appropriate focus on new/ reinforced management/ control measures</p>	1	Monitor and ensure ongoing management of those areas within the Council where levels of unplanned absence remain unacceptably high through the absence management project and continuing day to day activity	Sue Stanhope Director of HR & OD
								2	Review employee communications strategy, in particular to emphasize the Council's responses to the effects of the current economic downturn	Sue Stanhope Director of HR & OD
								3	Ensure roll out of planned health and safety monitoring arrangements	Sue Stanhope Director of HR & OD
								4	Seek assurance that the discharge of health and safety responsibilities is recognised in the performance appraisal of all line managers	Sue Stanhope Director of HR & OD
								5	Review, strengthen as appropriate and clearly re-communicate the value and importance of health and safety responsibilities/ statutory duties and the organisational and individual consequences of failing to do so	Sue Stanhope Director of HR & OD
29 Efficient and effective Council	Failure to corporately implement the Local Government Data Handling Guidelines	Bob Rayner Chief Solicitor	10.11	6.75	<p>Information/ data is lost or corrupted through:</p> <ul style="list-style-type: none"> <li>- inadvertent human error/ unthinking or careless act</li> <li>- malicious act (by Council employee or external agent e.g. hacker)</li> <li>- inherent weaknesses in existing information/ data security arrangements (e.g. remote devices such as laptops are not encrypted).</li> </ul> <p>Information /data is mismanaged as a result of lack of understanding and/or human error</p>	<p>Data/ information quality is impaired</p> <p>Confidential information is leaked and/or breach of data protection legislation occurs</p>	<p>Responsibility for data protection has been moved from ICT to the Information Governance Team (although the focus and resources of this team may be concerns).</p> <p>IBS consultants carried out a health check on revenues and benefits which proved satisfactory e.g. appropriate firewalls in place.</p> <p>The schools are on 'Contact Point' . This is a more secure way of passing/handling/ sharing information</p> <p>External independent review has been completed and reported favourably.</p> <p>ICT have a maintenance programme in place around the servers and network devices that includes replacement strategies where required.</p> <p>The team dealing with terrorism and social inclusion have just signed an agreement limiting those who can see certain very sensitive information.</p> <p>Actions are being taken to improve arrangements/ standard for data archiving ( but this may remain an area of concern)</p>	1	Executive Management Team to sign up to guidelines	Rhiannon Hood Assistant Chief Solicitor
								2	Corporate information Risk Officer to be appointed	Rhiannon Hood Assistant Chief Solicitor
								3	Gap analysis to be undertaken of current practices and guidelines	Rhiannon Hood Assistant Chief Solicitor
								4	Information Charter to be developed	Rhiannon Hood Assistant Chief Solicitor
								5	Information Risk Policy and plans to be developed to include: roles and responsibilities, governance, information asset owners	Rhiannon Hood Assistant Chief Solicitor
								6	Data quality action plan to be produced and implemented linked to Comprehensive Area Assessment use of resources requirements	Sarah Reed Assistant Chief Executive
								7	Begin installation of performance management system	Sarah Reed Assistant Chief Executive
30 Efficient and effective Council	Inadequate resilience to / communication on major incidents	Janet Johnson Deputy Chief Executive	9.77	6.70	<p>Business continuity plans/ responses are inadequate as a result of:</p> <ul style="list-style-type: none"> <li>-Failure to recognise and appropriately prioritise critical functions.</li> <li>-Failure to identify interdirectorate dependencies</li> <li>-Lack of communication/ assurance of understanding</li> <li>-Changes in Council's organisational structures and management arrangements had not been taken into consideration</li> <li>-Changes in the organisational structures and management arrangements of the Council's partners had not been taken into consideration</li> <li>-Plans are not tested to check/ strengthen their likely effectiveness in practice</li> <li>-Management teams take/ implement inappropriate decisions</li> <li>- Incident at/in Council's own premises that are linked to the emergency response centre</li> <li>- Incident at/in the premises of others (e.g. in the city centre) that are linked to/ monitored from the emergency response centre</li> <li>- Incident captured on the Council's network of CCTV</li> </ul>	<p>Unnecessarily delayed/ impaired/ inefficient / ineffective deployment of key services</p> <p>Consequent effects of this on customer outcomes (potentially including for example physical and mental ill- health and financial stress, etc.)</p> <p>Danger to Council staff or the public and consequent liability claims</p> <p>Public enquiry and consequent adverse publicity</p> <p>Impairment of stakeholder confidence</p> <p>Damage to reputation and political standing</p> <p>Delay to the recovery process leading to financial loss</p> <p>Cancellation, curtailing or the delay of a major event or reduce numbers at an event.</p>	<p>In 2008 the process for developing Business Continuity Plans (BCP) was audited and found to meet requirements. Council Business Continuity Plans are established and a business continuity working group, meeting every 3 months, is in place. At a corporate level directors have taken ownership for business continuity.</p> <p>The new British Standard is being reviewed to identify the steps that need to be taken to get the Council in line with the new standard.</p> <p>Emergency planning team provide templates for directorates BCP's.</p> <p>Training is provided for those who are mentioned in the plans.</p> <p>There is an annual exercise for auditing BCP and a smaller exercise that individual directorate's must do.</p> <p>Satellite phone capabilities are in place to improve the councils ability to communicate with local agencies.</p> <p>There are fall back positions in place if the Civic Centre is unable to be occupied: 1. relocate to Moorside, 2. arrangement to use Tyne and Wear emergency response unit in Washington, 3. agreement to use South Tyneside command centre.</p> <p>Well established arrangements for event planning and co-ordination.</p>	1	Ensure Council's IT disaster recovery arrangements are recognised within overall Business Continuity Plans and are appropriately communicated	Barry Frost Security and Emergency Planning Manager
								2	Additional testing around Business Continuity Plans	Barry Frost Security and Emergency Planning Manager
								3	Review back up for the telecare system	Barry Frost Security and Emergency Planning Manager
								4	Monitor the delivery of the improvement programme developed by the Emergency Response Planning Team	Barry Frost Security and Emergency Planning Manager

Risk No CIP	Risk Issue	Risk Owner	Inherent Risk Score	Residual Risk Score	Causes/ triggers	Effects	Key existing controls	No	Potential additional/ strengthened controls	Action manager
					<p>Major incident within the region requiring the Council to respond in fulfilment of statutory responsibilities under the Civil Contingencies Act (CCA) (e.g. major fire or accident the people living in the region such as an influenza pandemic)</p> <p>Adverse weather conditions</p>			5	Plan exercise for emergency planning / resilience (for Sunderland)	Barry Frost Security and Emergency Planning Manager

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31 Attractive and Inclusive City  Healthy City	Failure of the organisation to make effective use of natural resources	Janet Johnson Deputy Chief Executive	9.14	6.79	Failure to meet legislative obligations. Shortcomings in the Council's own efforts to minimise its carbon footprint: achievement of the policy commitments can be undermined by factors such as lack of staff engagement, 'poor energy performance' by new build projects (not meeting their energy consumption design criteria) and growth in energy consuming aspects of service delivery.	Effects include both in financial terms (higher costs of fuels/ utilities/ transportation, enforcement actions etc.) and reputation terms (adverse publicity and undermining of respect for its advisory, guidance and education roles in the wider community.)	Corporate carbon plan has been developed and adopted and is receiving demonstrable commitment and support from the Council's Executive Management and Elected Members. For example, commitment to a £1.2 million spend on carbon reduction projects has already been achieved. Annual programmes of work to achieve the overall objectives are defined in the policy and these are being monitored and reviewed. Templates for sustainability assessments/ appraisals have been developed (but are not yet being completed for all projects). Programmes of staff awareness are being completed.	1	Ensure ongoing commitment to staff training and the timely and appropriate completion of sustainability assessments a) Sustainability module included in revised e-induction programme for new starters inc corporate travel, waste and carbon emissions. b) Sustainability Officer to be appointed Aug/Sept 09 to deliver the Sustainability Impact Appraisals on all projects, contracts and cabinet decisions.	Jim Gillon Sustainability Co-ordinator
								2	Development and roll out of initiatives to raise the profile of the carbon reduction plan/ energy conservation measures (high profile carbon saving projects, but also communication materials) (Activities include: ongoing bi-monthly Cut Your Carbon campaign, Installation of mains fed water coolers in 9 council buildings - June 09, Installation of multi function printers - Oct 09, Automatic PC shutdown - Oct 09.)	Jim Gillon Sustainability Co-ordinator
								3	Develop and implement the environmental policy across the Council	Jim Gillon Sustainability Co-ordinator
								4	Identify preferred provider to deliver cremator upgrade (mercury emissions)	Norma Johnston Acting Head of Environmental Services
								5	Implement solution to effectively control mercury emissions from cremators	Norma Johnston Acting Head of Environmental Services
32 Safe City  Attractive and Inclusive City	Failure to provide a fit for purpose integrated infrastructure to ensure safe and effective travel in the city	Ron Odunaiya Executive Director City Services	9.32	8.22	Incorrect policies and standards policies and standards to improve road safety (engineering enforcement education) Necessary highway improvements and infrastructure delayed as a result of budgeting constraints Work performed by public utility operators Adverse effects of climate change Central Government changes to policy standards and funding	Major injury to the public, possible litigation, damage to reputation and the financial costs Customer dissatisfaction	Sunderland works with the Northumbria safer roads initiative scheme - Street lighting maintenance under long term PFI contract Very good highways inspection programme Planned programme of maintenance work Collection of accident data by the Traffic accident data unit (TADU)	1	Develop School Travel Plans	Les Clark Head of Street Scene Services
								2	Produce Highways Asset Management Plan	Les Clark Head of Street Scene Services
								3	Implement Local Road Safety plan and programmes	Les Clark Head of Street Scene Services
								4	Develop major employers travel plans	Les Clark Head of Street Scene Services
								5	Undertake comprehensive review of speed limits and implement programme for speed reductions	Les Clark Head of Street Scene Services
								6	Deliver and plan highways and road safety improvement programmes	Les Clark Head of Street Scene Services
								7	Support Nexus in the redesign of the bus corridor improvement programme	Les Clark Head of Street Scene Services

Risk No CIP	Risk Issue	Risk Owner	Inherent Risk Score	Residual Risk Score	Causes/ triggers	Effects	Key existing controls	No	Potential additional/ strengthened controls	Action manager
33 Improving Partnership Working	Failure to maximise the benefits and opportunities of partnership working	Dave Smith Chief Executive	10.80	7.94	Opportunities and/or benefits not maximised as a result of: - not considering alternative ways of delivering services through partnership working (including shared services) - failing, fully and clearly, to define/ articulate and appraise service delivery requirements during tendering/ commissioning for services - selecting an inappropriate service provider - ineffectively managing the service delivery	Services are not delivered efficiently and/or effectively Increased costs Unnecessary management focus on corrective actions Increased levels of scrutiny Critical audit/ review reports Reduced levels of customer satisfaction Adverse publicity Loss of reputation and political standing	Partnership code of practice Partnership annual questionnaire and review Robust procedures to support the development and management of partnerships and commissioning activities (currently being rolled through a programme of communication, information, training and embedding their requirements).	1	Code of practice to be reviewed and reissued by March 10 to further ensure effective governance of partnerships	Paul Davies Head of Audit & Procurement
								2	Develop a partnership working group	Sarah Reed Assistant Chief Executive
								3	Corporately develop a core competencies and development programme for partnership managers	Sarah Reed Assistant Chief Executive
								4	Consider arrangement for the co-ordination of partnership activities and compliance with the Code of Practice	Sarah Reed Assistant Chief Executive
34 Healthy City Delivering customer focused services	Failure to respond to demographic trends and the needs and aspirations of the residents of the city in relation to Adult Social Care	Neil Revely Executive Director Health Housing & Adult Services	10.92	6.29	Delays in / interruptions to the delivery of services Services delivered are unsuitable or not to required standards Services are reduced, suspended or withdrawn by outsourced providers (e.g. the closure of a residential care home) Council has to identify and ensure deliver of interim /alternative services (that may not fully meet customer needs) Partners withdraw investment from services that they are delivering Insufficient funding to allow delivery of services in full ( e.g. potential significant shortfall in funding for home improvement grants) Lack of effective communication and consultation Reduced levels of staff motivation/ engagement (within the Council and/or across its partners/ outsourced service providers) in direct response to changes/ their perceptions of the change Partners unable to develop/ provide/ introduce alternative service delivery mechanisms in timely manner (e.g. delays in the commissioning of extra care facilities)	Customers experience unnecessary ill health, pain/ suffering or stress Effects of the adverse customer experiences on their families and friends Increasing numbers of customer complaints and the redirection of management time into their investigation Increasing numbers of liability claims against the Council (Council drawn into these claims even if they relate to the acts or omissions of its partners) Requirements to participate in enquiries Budget overspends Reduced levels of staff motivation/ engagement Failure to meet performance targets Adverse publicity Damage to reputation and political standing	Individual case assessments completed and care requirements determined accordingly. Regular case reviews completed. Partnership approach including work with South of Tyne NHS Trust and Gentoo (housing services provider). In line with the government requirements, customers are directly provided with payments to enable them to manage their own care programmes. A transformation grant was obtained to support the introduction of change. There is emphasis on facilitating independent living through home adaptations. There is a Home Improvement Grant scheme and a Home Improvement Delivery team which completes agreed improvements. However both the available funding and the delivery team are stretched and there can be a delay of several months between an improvement being agreed and its delivery. Bad debt is a problem. Several services are outsourced including residential care. Such providers have been consulted on the strategy to move away from residential care and have been encouraged to adapt their service offerings accordingly. Project Managers are supported by the HHAS project office. PRINCE2 project management methodology.	1	Implement 3-year delivery plan, which is broken down into individual projects.	Graham King Head of Performance, Commissioning & Change
								2	Review and refresh the plan on an annual basis.	Graham King Head of Performance, Commissioning & Change
								3	Delivery via projects of the following: · Care Brokerage April 2010 · Transitions April 09 · Care Management & Assessment April 2010 · Intensive Support for independent Living at Home April 2010 · Low level prevention strategies April 2010 · Improve access to & support within other services for vulnerable people April 2010 · Deliver accommodation solutions - Commissioning Framework April 2009 / Silksworth Extra Care scheme April 2009 / Washington Extra Care scheme Sept 2009 / Hetton Extra Care scheme April 2010 · Strengthening joint working with Health (complex conditions) Sept 2009 · Working with Elected Members and Partners - Framework developed Sept 2009 · Workforce Development - Implement strategy & handover to operational management April 2009	Graham King Head of Performance, Commissioning & Change
35 Prosperous City	Inability to find and implement an effective solution for the future management of the Port of Sunderland	Janet Johnson Deputy Chief Executive	8.47	5.64	Ongoing inability to identify and reach agreement with a suitable partner to manage/operate the Port. Task of securing interest from partners may be made more difficult by the economic downturn. Downturn impacts detrimentally on the Port's profitability e.g. fewer/ smaller cargoes being handled. Contracts lost due to financial problems in customer base	If a suitable partner cannot be found, the Port may become unprofitable and therefore an unexpected/unbudgeted strain on the Council's financial resources.	Over the last 2 years the Council has turned the port around in terms of cargo 'volumes' handled and profit margins. In consequence it has been able to invest in new equipment/ facilities (i.e. new cranes and cargo shed). Long term contracts (covering next 5 – 10 years) have been secured. These include key contracts handling paper and pulp from Norway and Sweden. There is a Port Board in place with Council Officers as chair (Colin Clark) and Secretary (Hilary Philips). Ian Duncan acts as both port manager and harbour master ( but he is due to retire in 2009)	1	Decision to be made on whether external interest fits with our financial expectations	Janet Johnson Deputy Chief Executive
								2	If financial expectations not met, decision to be made on how we progress down the municipal port model	Janet Johnson Deputy Chief Executive

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