

## Sunderland City Council Corporate Risk Profile 2009/2010

### September 2009 Report

#### Action Status Key:

<b>T</b>	Action is on target
<b>C</b>	Action has been completed
<b>D</b>	Action is delayed
<b>N</b>	New action
<b>MT</b>	Action has moved and is on target
<b>MD</b>	Action has moved and is delayed

Risk Identification		Risk Status:	Open				
ID	Risk Description	Date Identified	Risk Owner				
1	Difficulties in managing/ delivering services that meet the changing patterns of housing availability, suitability, sufficiency and demand heightened by the economic downturn	05/03/2009	Neil Revely, Executive Director of Health Housing & Adult Services				
Causes							
Rapid changes in the market needs and availability impact Economic downturn - increasing numbers of mortgage repossessions, empty homes and subsequent increase in homelessness Lack of affordable housing Shortage of more expensive accommodation (executive houses) to attract more 'professionally qualified' people into the city Lack of suitable 'short term' accommodation (including Bed & Breakfast) Lack of resource to meet increased levels of demand							
Impact Details							
Increasing levels of demand lead to delays in housing services Increasing numbers of people in temporary and/ or unsuitable accommodation Reduction in community cohesion & increased levels of anti-social behaviour and crime Delay in new builds, refurbishment and home improvement programmes Delay in the delivery of the 'attractive and inclusive city' and other improvement priorities Service users expectations not met							
Current Controls							
Regular reviews of housing strategy (linked to 15 year plan for adult services, housing and health care) A planning/ housing officers group set up to identify and manage actions based upon findings from the recently completed Housing Market Assessment and stock condition survey . Former Council housing stock already achieved the Decent Homes standard requirements Reduction in the number of people in Bed & Breakfast accommodation Well established 'accredited landlord' scheme with a very high percentage of the private landlords signed up to it. 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							
Linked with Corporate Improvement Priorities (Yes/ No)							
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N	
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	Y	CIP8 Efficient and Effective Council	N	
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N	
Risk Assessment							
Risk Impact		Risk Likelihood		Risk Score*		Reason for Risk Movement	
Inherent Risk Scores March 2009		3.00		3.28		9.83	
Residual Risk Scores March 2009		2.61		2.33		6.09	Controls put in place

Risk: Difficulties in managing/ delivering services that meet the changing patterns of housing availability, suitability, sufficiency and demand heightened by the economic downturn							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
1.1	Finalise proposals to create a local housing company	Alan Caddick Head of Housing	31/03/10			Action on target. Priorities agreed. Financial information received from consultants to be validated to provide assurance to stakeholders on financial viability.	T
1.2	Implement (and monitor) the benefits of the preventing homelessness initiatives including below: a) Approval of Prevention of Homelessness Project Business Case	Alan Caddick Head of Housing	30/09/09		07/09/09	Action complete. Business Improvement Programme Board approved Business Case and Options Appraisal on 07/09/09.	C
	b) Implementation of Choice Based Letting	Alan Caddick Head of Housing	31/12/10			Action on target. Draft project plan & Project Initiation Document completed and to be submitted to Directorate Management Team. Next key milestone is to introduce a web based Mutual Exchange System across Tyne & Wear.	T
1.3	Ensure the housing issue is addressed by the Economic Master Plan	Vince Taylor Head of Strategic Economic Development	31/03/10			Action on target. Housing issues are included within the scope of the economic master plan. Themes include, attracting and retaining people and sustainability.	T
1.4	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	30/09/09		14/09/09	Action complete. Key housing projects being taken forward from the Housing Strategy are now included within the Health, Housing and Adult Services Directorate delivery plan.	C

Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
2	Difficulties in developing and delivering an effective strategy and plan for social inclusion, community cohesion and equality	05/03/2009	Dave Smith, Chief Executive		
Causes					
Failure to meet high profile central government key performance indicators 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) Economic downturn may raise tensions within communities.					
Impact Details					
Perception (very largely unjustified) of Sunderland as a 'intolerant' city/ as one where an individual's safety can be compromised by racism. Close central government scrutiny. Potential for public enquiry/ high profile adverse publicity in the event of the occurrence of a major incident					
Current Controls					
External Community cohesion & social inclusion regular agenda topics in area committee meetings. Each has a diversity champion. Review of Community Cohesion by Independent Consultants ICoCo in 2007/08 and its recommendations followed up. Partnership Community Cohesion Strategy developed. Independent advisory groups established ( gender, age, sex, faith, etc.) Internal: 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					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	Y	CIP8 Efficient and Effective Council	N
CIP3 Safe City	N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009	3.11	2.61	8.12		N/A
Residual Risk Scores March 2009	2.56	2.28	5.82	Controls put in place	Down

Risk: Difficulties in developing and delivering an effective strategy and plan for social inclusion, community cohesion and equality							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
2.1	Ensure the topic is covered within the Community Leadership Programme	Phil Spooner Programme Manager	30/09/09		30/09/09	Action complete. Issue addressed within the Community Leadership Programme	C
2.2	Implement and monitor the community cohesion strategy	Sarah Buckler Diversity and Inclusion Manager	30/09/09		30/09/09	Action complete. Community Cohesion Strategy signed off and implemented. On-going monitoring	C
2.3	Review communication and other arrangements to link the advisory groups into the Sunderland Partnership	Sarah Buckler Diversity and Inclusion Manager	31/10/09		31/10/09	Action complete. New terms of reference agreed for advisory groups.	C
2.4	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	31/03/10			Action on target. Strategies agreed for 2 areas. Work ongoing with other areas.	T
2.5	Review Impact and Needs Requirement Assessment process (INRA) to ensure it includes Community impact	Sarah Buckler Diversity and Inclusion Manager	31/10/09			Action on target. Review now extended to include partnership approach. This may possibly delay target date	T
2.6	Develop 2 year plan to move from achieving to excellent in the new equality framework	Sarah Buckler Diversity and Inclusion Manager	31/10/09			Action on target. New Strategic Inclusive Communities group set up	T
2.7	Ensure PREVENT plan is completed, adopted and communicated with high priority	Sarah Buckler Diversity and Inclusion Manager	31/12/09			Action on target. Plan completed and adapted. Communication strategy being implemented.	T
2.8	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	31/10/09			Action on target. Plans and funding in place to develop certain elements. Further resources required to achieve all elements	T

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
3	Continuing lack of recognition of/ support for/ involvement in Sunderland as one City	05/03/2009	Dave Smith Chief Executive			
Causes						
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						
Impact Details						
Lack of a singular/ cohesive community identity Consequent lack of buy in/support of the 'Sunderland brand' External initiatives to promote the city (e.g. economic development) are undermined or have reduced levels of success						
Current Controls						
Well established and supported Local Strategic Partnership has developed and communicated the Sunderland Strategy (linked to Improvement Priorities and National Indicators)						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	Y
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		2.67	3.06	8.15	N/A	
Residual Risk Scores March 2009		2.22	2.50	5.56	Controls put in place	

Risk: Continuing lack of recognition of/ support for/ involvement in Sunderland as one City							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
3.1	Review communication, understanding and positioning of the 'Sunderland' brand within the Sunderland Partnership and area committees	Deborah Lewin Director of Communications and Marketing	31/10/09			Action on target. Marketing group established for the City. City Centre Board established. Joint approach to World Cup bid	T
3.2	Review communication, understanding and positioning of the 'Council' brand	Deborah Lewin Director of Communications and Marketing	31/03/10			Action on target. Developed a segmented approach to internal communications. "Sunderland way of working" pack developed	T
3.3	Collate more detailed information about citizens on a locality basis to establish more effective engagement with local communities	Sarah Reed Assistant Chief Executive	31/03/10			Action on target. Interim Place Survey to be completed before the end of December to collect ward data. Range of projects introduced to address NI 1 and NI 4	T
3.4	Develop a plan to promote the One City approach based upon its core values of fairness and decency	Deborah Lewin Director of Communications and Marketing	31/03/10			New action	N
3.5	Develop a communication plan around Community Leadership Programme, defining the purpose of the Council and the role of members as community leaders	Deborah Lewin Director of Communications and Marketing	31/03/10			New action	N

Risk Identification		Risk Status:	Open	
ID	Risk Description	Date Identified	Risk Owner	
4	Failure of the Council to support Elected Members to deliver their relevant community leadership role	05/03/2009	Dave Smith, Chief Executive	
Causes				
Failure of the Council to increase the understanding of Members in relation to the Community Leadership Role				
Impact Details				
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 require the tools to get involved and effectively communicate on Council matters to increase visibility, reputation and image of Sunderland.				
Current Controls				
All members of cabinet have a balanced score card and a 360 degree appraisal based on this. Training/ development needs have been identified and being developed.				
Linked with Corporate Improvement Priorities (Yes/ No)				
CIP1 Prosperous City	N	CIP4 Learning City	N	
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	
CIP3 Safe City	N	CIP6 Customer Focused Services	N	
CIP7 One Council		Y		
CIP8 Efficient and Effective Council		N		
CIP9 Improving Partnership Working		N		
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009	3.06	3.06	9.34	N/A
Residual Risk Scores March 2009	2.39	2.06	4.91	Controls put in place



Risk: Failure of the Council to support Elected Members to deliver their relevant community leadership role						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target		Progress Update September 2009	Status
			Original	Amended		
4.1	Implement the Community Leadership Programme to encourage take up of opportunities e.g. through identifying Member Champions. The Community Leadership Programme Board to scope the following projects:	Phil Spooner Programme Manager	30/09/09		30/09/09 Action deleted. Individual scoping actions outlined below 4.2 - 4.6	Deleted
4.2	Community Leadership Councillor	Phil Spooner Programme Manager	30/09/09		30/09/09 Action complete. Scoping agreed. Developments include i. Production of a Vision for Community Leadership, a role definition for Community Leadership Councillors, the identification of key support requirements and main front line service issues ii. Action on support needs prioritised by Members (e.g. production of the Service Directory, Cabinet Directory) iii. Launch of the first corporate Member Satisfaction Survey	C
4.3	Recognition for action	Phil Spooner Programme Manager	30/09/09		30/09/09 Action complete. Project Scope agreed.	C
4.4	Review of Sunderland Partnership	Phil Spooner Programme Manager	30/09/09		30/09/09 Action complete. Review of LSP structures completed	C
4.5	Responsive Local Services	Phil Spooner Programme Manager	30/09/09		30/09/09 Action complete Project scope agreed	C
4.6	Area Governance	Phil Spooner Programme Manager	30/09/09		30/09/09 Action complete. Scoping agreed. Key work streams include: • Area Committee Boundary Review • Development of Local Area Plans • Review of Area Committee membership • Review of Area Committee governance and business processes • Review of Area governance support roles and functions • Definition of Neighbourhoods	C

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
4.7	Community Leadership Councillor 1. Review Cabinet support and consult with Members 2. Develop mandate for comprehensive review of Member support services 3. Develop electronic support services	Phil Spooner Programme Manager	31/03/10			New action	N
4.8	Recognition for Action Develop CLP communications strategy	Phil Spooner Programme Manager	31/03/10			New action	N
4.9	Responsive Local Services Launch first wave activity after seeking approval from Cabinet and briefing all Area Committees	Phil Spooner Programme Manager	31/03/10			New action	N
4.10	Area Governance Develop Area Performance Frameworks. Review voluntary and community sector representation on Area Committees Develop Area Committees commissioning role	Phil Spooner Programme Manager	31/03/10			New action	N

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
5	Continuing difficulties in addressing the perception gap between the services the Council currently delivers and the overall evaluation of the Council	05/03/2009	Dave Smith, Chief Executive			
Causes						
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.						
Impact Details						
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						
Current Controls						
Customer Services' offer multiple means of contact including e mail, internet, telephone and letter. Face to face meetings with staff via Customer Service Centres Contact Centre available 08:00 - 18:30 Monday - Friday. Extensive annual survey of customer satisfaction by external organisation (MORI) with findings reviewed and acted upon						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	Y
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.00	3.28	9.83	N/A	
Residual Risk Scores March 2009		2.56	2.33	5.96	Controls put in place	

Risk: Continuing difficulties in addressing the perception gap between the services the Council currently delivers and the overall evaluation of the Council						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target		Progress Update September 2009	Status
			Original	Amended	Completed	
5.1	Implement the Business Improvement Programme (BIP) customer service review project	Andrew Seekings Head of Programme & Project Office	31/12/09	31/03/10	Action delayed. Target date changed to 31/3/10 Scoping work now under taken. Completion date stated in Project Initiation Document (PID) as March 2010	D
5.2	Utilise the Demos Trust initiatives to help address analysis of the population	Sarah Reed Assistant Chief Executive	31/12/09		Action on target. Project undertaken with Demos trust in the summer. Methodology now used in engagement work.	T
5.3	Utilise "MOSAIC" analysis software to gain a better understanding of different segments of the population	Sarah Reed Assistant Chief Executive	31/12/09		Action on target. Continuing to use on an Area and Ward basis. Linked to the Community Leadership Programme and the Recognition for action project. Work embedded through the performance management system	T

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
6	Difficulties in implementing effective engagement and consultation with communities	05/03/2009	Dave Smith, Chief Executive			
Causes						
Ineffective consultation arrangements. Failure to establish representative cross section of the local community (including hard to reach groups. Incomplete/ inadequate/ misdirected market research. Low levels of support for/ responses to consultation processes.						
Impact Details						
Inaccurate or unrepresentative data. Unstable decision making. Opposition within the local community to the implementation of subsequent strategies and policies						
Current Controls						
Effective consultation processes. Experienced researchers and analysts. Digital Challenge Programme						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City		N	CIP6 Customer Focused Services	Y	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.00	3.11	9.33	N/A	
Residual Risk Scores March 2009		2.50	2.28	5.69	Controls put in place	

Risk: Difficulties in implementing effective engagement and consultation with communities							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
6.1	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	30/09/09	31/03/10		Action delayed. Target date changed to 31/03/10 An event was held in August with officers and partners regarding this and a report will be compiled with findings and options regarding a possible way forward.	D
6.2	Procurement and implementation of an e-consultation solution to encourage wider involvement in engagement activity and support the consultation database	Nadine Morrisroe Consultation Manager	30/09/09	31/03/11		Action delayed Target date changed to 31/03/11 A requirements specification has been drawn up and project group formed to evaluate tenders for a new solution. All solutions have been evaluated and an options appraisal is being drawn up. A report will go to EMT in September/ October with recommendation for which package to procure. Implementation timescales and tasks will be subsequently be agreed. Provisional target date of March 2011 pending definitive timescales.	D
6.3	Commence Implementation of the Community Development Plan	Jane Hibberd Assistant Head of Community Services	30/09/09		01/09/09	Action complete Plan was agreed by Sunderland Partnership and Cabinet in June 2009. Work has now begun on the implementation of the plan. The plan is expected to be an iterative document which will be developed to reflect improvements and changing requirements.	C
6.4	Establish a Community Development Exchange for Community Development practitioners; Council, Sunderland Partnership organisations and VCS organisations	Jane Hibberd Assistant Head of Community Services	31/03/10			Action on target Work continues to be on target to develop efficient and effective integration of the Voluntary Community Sector via the Community Development Exchange and new Area Arrangements.	T
6.5	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	30/09/09		01/09/09	Action complete The review has been complete and the Sunderland Community Network has been established. The issue of participation and representation in Area Arrangements is under consideration and will be resolved by the end of the year.	C

Risk Identification		Risk Status:	Open	
ID	Risk Description	Date Identified	Risk Owner	
7	Failure to utilise the corporate programme / project methodology to deliver Council programmes and projects on time, on budget and to quality	05/03/2009	Dave Smith, Chief Executive	
Causes				
Unstructured approach to project governance and coordination				
Impact Details				
Cost overruns have to be met from the Council's reserves. Adverse publicity Delays				
Current Controls				
Programme and Project Office. Contract development/ review by Legal with tendering in accordance with European law (OJEU) requirements. PRINCE2 project management methodology				
Linked with Corporate Improvement Priorities (Yes/ No)				
CIP1 Prosperous City	Y	CIP4 Learning City	N	
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	
CIP3 Safe City	N	CIP6 Customer Focused Services	N	
		CIP7 One Council	N	
		CIP8 Efficient and Effective Council	Y	
		CIP9 Improving Partnership Working	N	
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009	3.67	3.50	12.83	
Residual Risk Scores March 2009	3.50	2.61	9.14	Controls put in place

Risk: Failure to utilise the corporate programme / project methodology to deliver Council programmes and projects on time, on budget and to quality							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
7.1	Define a Portfolio approach to programmes and projects to provide a corporate overview	Andrew Seekings Head of Programme & Project Office	30/09/09		30/09/09	Action complete Improvement Programme Report drafted, to be discussed with Chief Executive (15 Sept 09) and at the initial Improvement Board (22 Sept 09)	C
7.2	Prioritise Corporate projects and agree corporate portfolio	Andrew Seekings Head of Programme & Project Office	30/09/09	31/03/10		Action delayed Target date changed to 31/3/10 Review of Corporate Project Register required, portfolio to be prioritised following the set up of the Improvement Board.	D
7.3	Define and roll out a Programme Management methodology	Andrew Seekings Head of Programme & Project Office	30/09/09		30/09/09	Action Complete- Programme Management Methodology defined (MSP) being utilised on all three corporate programmes.	C
7.4	Develop training framework for programme management to ensure it delivers the appropriate skills and competencies	Andrew Seekings Head of Programme & Project Office	31/03/10			Action on target. In Progress - MSP Training for Key Officers to take place (w/c 19Oct09)	T
7.5	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	31/03/10			Action on target Work not started but timescales achievable.	T
7.6	Programmmme and Project office to review the effectiveness of Quality Assurance	Andrew Seekings Head of Programme & Project Office	31/03/10			New Action	N



Risk Identification		Risk Status:	Open
ID	Risk Description	Date Identified	Risk Owner
8	Failure to deliver a major business improvement project in timely and cost effective manner	05/03/2009	Dave Smith, Chief Executive
Causes			
Unstructured approach to project governance and coordination. Inability to measure improvement. Ineffective communication.			
Impact Details			
Cost overruns. Staff unable or unwilling to embrace the required changes in working practices. Adverse impacts on staff morale. Cost/time implications of having to roll further communication and training			
Current Controls			
Programme and Project Office PRINCE2 methodology including, monitoring, reporting and review procedures			
Linked with Corporate Improvement Priorities (Yes/ No)			
CIP1 Prosperous City	N	CIP4 Learning City	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N
CIP3 Safe City	N	CIP6 Customer Focused Services	N

Risk: Failure to deliver a major business improvement project in timely and cost effective manner						
<b>Risk Mitigation</b>						
Action No	Mitigating Actions	Risk Action Manager	Target		Progress Update September 2009	Status
			Original	Amended	Completed	
8.1	Review governance arrangements for internal Business Improvement Programme (BIP) activities.	Andrew Seekings Head of Programme & Project Office	30/09/09		30/09/09	Action complete Reviewed as part of the Improvement Programme Report.
8.2	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	31/03/10			Action on target. Communication strategy implemented

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
9	Failure to implement a strategy/ deliver a plan that makes the most efficient/ effective use of land/ property in the Council's portfolio	05/03/2009	Janet Johnson, Deputy Chief Executive			
Causes						
Lack of knowledge of the land/ property portfolio Land/property requirements not linked to the delivery of the Sunderland Strategy/ Improvement Priorities Effects of the economic downturn Lack of suitable developers coming forward to take advantage of available opportunities Lack of Council funding to kick start initiatives						
Impact Details						
Failure to achieve anticipated capital receipts Ongoing costs of failing to achieve anticipated efficiency savings Delayed/ abandoned development opportunities ( e.g. regeneration of existing sites; new housing developments) Impacts on the achievement of Corporate Improvement Priorities (notably Prosperous City)						
Current Controls						
Land/property portfolio is now drawn together into one department enabling an integrated approach to be developed A detailed business plan (inc benefits) is required and must be approved before new developments are sanctioned A number of initiatives are in place to protect Council buildings e.g. security team, building security standard, CCTV, asset register						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		Y	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.28	3.56	11.65	N/A	
Residual Risk Scores March 2009		3.00	2.83	8.50	Controls put in place	

Risk: Failure to implement a strategy/ deliver a plan that makes the most efficient/ effective use of land/ property in the Council's portfolio							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
9.1	Agree Asset Disposal Strategy and report to Cabinet	Colin Clark Head of Land and Property	30/09/09	07/10/09		Action delayed. Target date changed to 7/10/09 Report agreed by Executive Management Team and is due to report to Cabinet on 7/10/09.	D
9.2	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	31/12/09			Action on target. Due to be completed by year end.	T
9.3	Complete review of use of community assets and prepare policy for community asset use and transfer	Colin Clark Head of Land and Property	31/12/09			Action on target. Due to be completed by year end.	T
9.4	Agree strategic acquisitions policy	Colin Clark Head of Land and Property	31/12/09			Action on target. Due to be completed by year end.	T

Risk Identification		Risk Status:	Open	
ID	Risk Description	Date Identified	Risk Owner	
10	Failure to establish and embed an integrated approach to the management of crime and fear of crime	05/03/2009	Dave Smith, Chief Executive	
Causes				
Ineffective partnership working between the Council and its partners in relation to the causes of crime Specific failures of policies/procedures				
Impact Details				
Legal challenge, 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 Decrease in public satisfaction Fear of crime increases				
Current Controls				
Partnership structures in place inc a quarterly Board and a bi-monthly business support group for monitoring performance. The Partnership produces an annual Strategic Intelligence Assessment to identify priorities/ areas of focus and action. Programmes implemented to address identified priorities e.g. taxi marshal scheme in the city centre, increased CCTV.				
Linked with Corporate Improvement Priorities (Yes/ No)				
CIP1 Prosperous City	N	CIP4 Learning City	N	
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	
CIP3 Safe City	Y	CIP6 Customer Focused Services	N	
		CIP7 One Council	N	
		CIP8 Efficient and Effective Council	N	
		CIP9 Improving Partnership Working	Y	
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009	3.44	3.00	10.33	
Residual Risk Scores March 2009	2.72	2.17	5.90	Controls put in place

Risk: Failure to establish and embed an integrated approach to the management of crime and fear of crime						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009
			Original	Amended		
10.1	Following changes to Section 17of the Crime and Disorder Act 1998 refresh awareness of peoples responsibilities under it	Stuart Douglass Safer Communities Manager	30/09/09	31/01/10		Action delayed. Target date changed to 31/1/10. This is delayed due to staff vacancies. A presentation/briefing session has been prepared and 3 sessions for managers from across the City Council will be promoted before the end of September. The sessions will take place in November (x2) and January (x1).
10.2	Review internal arrangements for information sharing	Stuart Douglass Safer Communities Manager	31/12/09			Action on target. A protocol has been signed by Responsible Authorities and key partners within Safer Sunderland Partnership. However, new action under this risk has been identified in relation to information security, transmission, storage and retention of data. This work will involve a dedicated task group to also cover action required by the Safeguarding Children Board as a response to Lord Laming's report. This work will be scoped by the end of October and it is likely that new actions will roll into 2010/11 in relation to comprehensively delivering this work
10.3	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	31/03/10			Action on target. A Reducing Reoffending Manager commences employment in the Safer Communities Team from 1/10/09 and a Reducing Reoffending Delivery Plan will be produced by March 2010.
10.4	Review partnership arrangements to ensure due recognition of their impact on crime and the fear of crime.	Stuart Douglass Safer Communities Manager	31/03/10			Action on target. A comprehensive review has been completed in line with Statutory requirements and the majority of actions implemented and complete. A lighter touch refresh will take place as part of the Partnership Strategic Intelligence Assessment to be presented to the Safer Sunderland Board in December 09.

Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
11	Failure to manage financial pressures	05/03/2009	Keith Beardmore, Director of Financial Resources		
Causes					
(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. Equal pay and associated costs Major projects					
Impact Details					
Reduced levels of service delivery Reduced capabilities to respond to 'emerging' needs/ demands Potential reduction in the size of the Council's overall workforce Impairment of reputation and political standing					
Current Controls					
1. Medium Term Financial Strategy 2. Financial Management System (FMS) 3. Budget Monitoring 4. Service policy reviews5. 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).					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	Y	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	Y
CIP3 Safe City	N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009	3.70	3.10	11.46		N/A
Residual Risk Scores March 2009	3.28	2.50	8.21	Controls put in place	↓

Risk: Failure to manage financial pressures

### Risk Mitigation

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
11.1	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	Annually			Action on target. Will be presented to the EMT at its away day on 13th October 2009	T
11.2	Identification of and agreement of efficiency targets for 1. Specific corporate projects 2. Directorate targets on an annual basis	All Chief Officers	Annually			Action on target. Efficiency Targets advised to Chief Officers / Directors by memorandum dated 10th August, 2009	T
11.3	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	Annually			Action on target. Human Capital Management (HCM) and FMS Consolidation now subsumed within the HR / Payroll Project Phase 2 and Project Initiation Document (PID) nearing finalisation.	T
11.4	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	Quarterly			Action on target. First quarterly review to be submitted in October 2009	T
11.5	On-going review and monitoring of current financial situation to identify any possible financial impacts on Council plans and business	All Chief Officers	Annually			Action on target. MTFS returns submitted and reviewed in July 2009	T



Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
11.6	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	Annually			On target Annual review of Directorate corporate budget management schemes undertaken each March Additional corporate review September 2009 which will fundamentally review budget monitoring processes across the Council to ensure the most appropriate and effective systems and processes are used, while ensuring the most cost effective approach is adopted.	T
11.7	Continue to implement Supplier Relationship Management (SRM)	Keith Beardmore Director of Financial Resources	31/03/10			Action on target. SRM due to be implemented by November 2009. E Invoicing business case being prepared.	T
11.8	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	30/09/09	31/03/10		Action delayed. Target date changed to 31/3/10 Scoping work under taken Completion date stated in PID as March 2010	D

Risk Identification		Risk Status:	Open
ID	Risk Description	Date Identified	Risk Owner
12	Inability to match human resources and skills/ abilities to meet the changing organisational requirements	05/03/2009	Dave Smith, Chief Executive
Causes			
Council unable to train / develop existing employees to gain the required skills to undertake new roles. Staff recruitment and retention. Unplanned absence levels			
Impact Details			
Reductions in quality of service delivery Increased costs of recruitment, training and development. Reduced morale among existing staff			
Current Controls			
Corporate Training Programme. Remuneration and benefits packages regularly monitored. Targeted 'employment package' reviews. Wide ranging non-pay benefits. Regular communication and consultation with the recognised trade unions.			
Linked with Corporate Improvement Priorities (Yes/ No)			
CIP1 Prosperous City	N	CIP4 Learning City	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N
CIP3 Safe City	N	CIP6 Customer Focused Services	N

Risk: Inability to match human resources and skills/ abilities to meet the changing organisational requirements

### Risk Mitigation

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
12.1	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	31/03/10			Action on target. Smarter Working Project PID and outline business case due Oct 09. This will enhance our ability to take advantage of flexible options as well as driving this through property rationalisation. Service Improvement Projects are taking account of flexible working options in order to maximise process efficiency and meet needs to extend service provision outside of normal working hours. Pilot Flexi time areas (no core time, extended start and finish times) are now delivered and evaluated - will deliver proposals to EMT to extend this approach to other suitable areas. Recruitment advertising through AskRecruitment publicises flexible opportunities where appropriate.	T
12.2	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	31/03/10			Action on target. Employee survey currently being carried out in Children's Services Safeguarding Service. Whole authority survey to be carried out early 2010. IIP review to take place in October 2009. These will form the basis of analysis of the current perception of employees	T

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
12.3	Review and implement workforce development strategy and plan (including wider recognition of succession planning)	Sue Stanhope Director of HR & OD	30/09/09	31/07/10		Action delayed. Revised target date July 10. There are three key strands to bring together to ensure that the workforce development strategy meets the emerging needs of the Council. The Children's Services and Adult Services strategies are in development to ensure that they meet the specific changing needs of those areas. The overall strategy needs to take full account of the impact of the economic downturn on public finances alongside the Sunderland Way of Working and Operating Model. A strategy is in development to facilitate a "reshuffling" of our workforce to ensure that our downsizing needs are met in the most efficient way (minimising negative impact on individuals) and complimentary to our ongoing and changing need to fill "tomorrow's jobs".	D
12.4	Ensure recognition within the workforce development strategy of social and inclusion requirements	Sue Stanhope Director of HR & OD	30/09/09		30/09/09	Action complete. The need to restructure will naturally restrict intake of new employees. This is likely to restrict the pace at which our overall workforce changes composition to become more diverse and representative of our community. Plans, referred to above, give opportunity to improve diversity within the existing workforce; for example, challenging stereotypical views of gender exclusive roles. The Workforce Diversity Plan sets out a series of target outcomes and associated actions for 5 key areas, comprising: targets, monitoring, evaluation and involvement; leadership, mainstreaming and service transformation; recruitment; development; employee relations and well-being. Apprenticeships are focussing on disadvantaged young people (e.g. those coming out of local authority care) in order to ensure we offer opportunities to those most in need rather than cherry picking those who are best placed. New action to be developed to achieve the targets set out in Workforce Diversity plans	C
12.5	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	30/09/09		30/09/09	Action completed. Initial target achieved and work on-going. New team established by EMT to bring better focus to apprenticeships and other work placements. This team will focus on future skills needs and target disadvantaged groups. The target intake for apprenticeships is doubled to 100. Current figures are: total placements 161, of which 118 are filled, 23 are in the process of being filled and 20 roles are still to be identified.	C

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
12.6	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	31/03/10			Action on target. Principle of retraining and redeployment included in communications plan for Sunderland Way of Working / Operating Model project. Outline process developed in draft form.	T
12.7	Maximise non financial benefits to position the Council as an employer of choice.	Sue Stanhope Director of HR & OD	31/03/10			Action included within 12.2 above	M T

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
13	Adverse outcome of current legal considerations in relation to Single Status & Equal Pay	05/03/2009	Dave Smith, Chief Executive			
Causes						
Judgement against the Council on the outstanding legal challenges.						
Impact Details						
Legal costs and damages. Adverse publicity, reputation damage and damage to political standing						
Current Controls						
Council has deployed external legal specialists. The Council has built up reserves to meet its anticipated level of financial liability. Several strands of work have been/ are being deployed to avoid the potential of future financial liabilities						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	Y
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.94	3.56	14.03		N/A
Residual Risk Scores March 2009		3.94	3.05	12.02	Controls put in place	

Risk: Adverse outcome of current legal considerations in relation to Single Status & Equal Pay							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
13.1	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	31/03/10			Action on target. The tribunal process is ongoing with further cases already scheduled well into 2010.	T

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
14	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	05/03/2009	Keith Beardmore, Director of Financial Resources			
Causes						
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						
Impact Details						
Unbudgeted costs. Adverse publicity. Resultant general damage to the Council's reputation and political standing						
Current Controls						
Standing orders, delegation of authority protocols and similar policies and procedures Codes of conduct for staff and Elected Members Scrutiny Process. Centralised arrangements for procurement. Financial management systems Internal / External audit activities. Constitution. Local Code of Corporate Governance. Corporate Governance Review (including action plan)						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	Y
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.06	2.67	8.15		N/A
Residual Risk Scores March 2009		2.44	1.67	4.07	Controls put in place	



Risk: 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						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target		Progress Update September 2009	Status
			Original	Amended	Completed	
14.1	Review arrangements for governance structures established for the implementation of major projects.	Andrew Seekings Head of Programme & Project Office	30/09/09		30/09/09	C
14.2	Ensure governance requirements are highlighted as a key element of the Community Leadership Programme	Phil Spooner Programme Manager	30/09/09		30/09/09	C
14.3	Develop further governance training for Members and officers.	Paul Davies Head of Audit & Procurement	30/09/09	30/11/09	Action delayed. Target date changed to 30/11/09 Member training on Corporate Governance and Risk Management is planned for November 2009	D
14.4	Develop counter fraud strategy for the Council	Paul Davies Head of Audit & Procurement	31/03/10		New action	N

Risk Identification		Risk Status:		Open	
ID	Risk Description	Date Identified		Risk Owner	
15	Failures within the Council to identify/ develop/ implement changes that enable it to meet the challenges of value for money and efficiency savings	05/03/2009		Keith Beardmore, Director of Financial Resources	
Causes					
Cross cutting 'efficiency savings' projects/programmes do not yield anticipated benefits. Suitable measures not available to measure accurately the levels of success that have been achieved. Directorates unable to identify opportunities or are unable to secure the financial support to put them in place					
Impact Details					
Inability to meet the overall target leading to requirements to rework the budget/ increasing Council tax. Service delivery standards need to change. Potential job losses within/ across the Council					
Current Controls					
Targeted approach to make efficiency savings in specific areas and/ or across the Council as a whole.. Well established and robust approaches to budget setting and monitoring Efficiency strategy					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City		N	CIP4 Learning City		N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City		Y
CIP3 Safe City		N	CIP6 Customer Focused Services		N
CIP7 One Council		N	CIP8 Efficient and Effective Council		Y
CIP9 Improving Partnership Working		N	CIP10 Customer Focused Services		N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009	3.44	3.39	11.67		
Residual Risk Scores March 2009	3.06	2.56	7.81	Controls put in place	

Risk: Failures within the Council to identify/ develop/ implement changes that enable it to meet the challenges of value for money and efficiency savings

### Risk Mitigation

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
15.1	Develop delivery plan to implement council's new Business operating model (Sunderland Way of Working)	Andrew Seekings Head of Programme & Project Office	30/09/09		30/09/09	Action completed	C
15.2	Develop Comprehensive Area Assessment improvement plan in response to use of Resources self assessment	Sarah Reed Assistant Chief Executive	31/03/10			Action on target. Comprehensive Area Assessment scores expected by the end of September. Range of improvement plans in place eg Asset Management Improvement Plan. Community Cohesion Improvement Plan. Review to be undertaken following receipt of assessment scores	T
15.3	Improve skills of council employees in relation to customer care and avoidable contact	Andrew Seekings Head of Programme & Project Office	31/03/10			Action on target. Head of Customer Services appointed to further develop accessible, relevant and efficient services.	T
15.4	Implement Local Area Plans to ensure value for money considerations at an area level	Vince Taylor Head of Strategic Economic Development	31/03/10			Action on target. Plans being developed	T
15.5	Introduce council wide self assessment model to support strategic planning process	Sarah Reed Assistant Chief Executive	31/10/09			Action on target. Model established and testing on going. To be introduced into the strategic planning process for 2010-11	T
15.6	Review medium term financial strategy to support operating model and delivery of key projects	Keith Beardmore Director of Financial Resources	31/03/10			Action on target Will be picked up through the budget process	T
15.7	Implement commissioning strategy.	Paul Davies Head of Audit & Procurement	31/12/09			Action on target. The Corporate Service Improvement Framework (i.e. commissioning framework) was considered by EMT in March 2009. The principles of this framework will be taken forward as part of the emerging Improvement Programme and new Operating Model.	T
15.8	Implement revised procurement strategy - ensuring an appropriate balance between procuring locally and managing the Council's finances effectively.	Paul Davies Head of Audit & Procurement	31/12/09			Action on target. New Procurement Strategy was agreed by Cabinet in July 2009. The new unified structure was agreed by Personnel in September 2009. A number of actions are included within the Strategy to ensure better vfm is secured whilst ensuring that there is an increase on the use of local suppliers. A bid for WNF monies is being considered by the WNF Board to fund a project to assist with the aim of increasing the use of local suppliers.	T

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
15.9	Develop detailed plans to review the following areas of working -strategic and shared support services -commissioning and service delivery improvement -customer services -ICT -procurement	Andrew Seekings Head of Programme & Project Office	31/03/10			New action	N
15.10	Implement Comprehensive Area Assessment improvement plan in response to use of Resources self assessment	Sarah Reed Assistant Chief Executive	30/09/10			New action	N

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
16	ICT strategy and operational focus are not yet fully aligned to the needs and requirements of the Council and its partners	05/03/2009	Dave Smith, Chief Executive			
Causes						
Difficulties in establishing and delivering clear strategic objectives Council/ directorate/ department/ partner ICT requirements and priorities are not clearly defined						
Impact Details						
Lack of efficiency/ effectiveness at Council/ directorate/ department level. Disaster Recovery (DR) and Business Continuity Management (BCM) arrangements and requirements not understood by managers and staff. Council's ICT systems are not compatible with those of its partner						
Current Controls						
ICT Technical Blueprint developed. Upgrades to infrastructure. Disaster recovery arrangements and Business Continuity Plans in place						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	Y
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.50	3.50	12.25		N/A
Residual Risk Scores March 2009		3.28	2.72	8.92	Controls put in place	

Risk: ICT strategy and operational focus are not yet fully aligned to the needs and requirements of the Council and its partners							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
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)							
16.1	EP5 Infrastructure SAP / ICT (To ensure servers are fit for purpose)	Tom Baker Corporate Head of ICT	30/09/09		30/09/09	Action complete. Initial analysis undertaken and systems satisfactory. On-going process to ensure servers remain fit for purpose to deliver Blueprint	C
16.2	EP6 Business Warehouse (BI) (Information storage)	Tom Baker Corporate Head of ICT	30/09/09		30/09/09	Action Complete First phase of BI, which was SRM reporting, delivered. Phase 2 to be started	C
16.3	EP13 VOIP (Voice over internet protocol)	Tom Baker Corporate Head of ICT	30/09/09		30/09/09	Action complete. There may be a follow on project to move HHAS and CS Cisco VOIP over to Avaya but that has not been agreed or funded yet	C
16.4	EP14 E-procurement (Supplier Relationship Management (SRM))	Tom Baker Corporate Head of ICT	30/09/09	31/12/09		Action delayed Target date changed to 31/12/09 Project is due for completion in November other than some outstanding developments for ICT ordering and Schools catalogue access.	D
16.5	EP3 Interim Customer Contact Solution (ICCS) - Phase 2 - Review migration to Sunderland Contact Centre network	Tom Baker Corporate Head of ICT	30/09/09		30/09/09	Action complete. System implemented.	C
16.6	EP11 Performance Management (IT system implementation)	Tom Baker Corporate Head of ICT	30/09/09		30/09/09	Action complete. System installed. Data testing on-going	C
16.7	EP12 E-payments (cash receipting replacement )	Tom Baker Corporate Head of ICT	30/09/09	30/04/10		Action delayed. Target date changed to the 30/4/10, Next stage is to obtain the approval of Cabinet and begin the procurement process.	D
16.8	Identify additional ICT skills required to deliver corporate ICT strategy and directorate road maps	Tom Baker Corporate Head of ICT	30/09/09		30/09/09	Action complete. Covered as part of technical blueprint work. New action to review required skills to reflect on going delivery of the IT Blueprint	C
16.9	Ensure ICT strategy recognises partnership working requirements	Tom Baker Corporate Head of ICT	30/09/09		30/09/09	Action complete. Covered as part of technical blueprint work	C

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
16.10	Deliver an action plan to address gaps in ISO 27001 compliance	Tom Baker Corporate Head of ICT	30/09/09		30/09/09	Action complete. New action to review all controls by the re-certification in 2011	C
16.11	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 Corporate Head of ICT	31/03/10			Action on target. Continuing progress being made to secure systems and provide appropriate back up.	T
16.12	Further develop a Business Continuity managed solution to reflect business needs for required infrastructure and critical functions	Tom Baker Corporate Head of ICT	31/03/10			Action on target. Included within 16.11	M T
16.13	Investigate systems to prevent unauthorised data downloads	Tom Baker Corporate Head of ICT	31/12/09			Action on target. Now include within 16.18	M T
16.14	Consider use of secure removable devices and audit tools	Tom Baker Corporate Head of ICT	31/12/09			Action on target. Now include within 16.18	M T
16.15	Continue to migrate away from legacy problems/ ageing system architecture.	Tom Baker Corporate Head of ICT	31/03/10			Action on target. Covered as part of technical blueprint work	T
16.16	Investigate file-store increase as an interim measure. Replace existing server with new multi server configuration for higher levels of resilience	Tom Baker Corporate Head of ICT	31/12/09			Action on target. Work in progress	T
16.17	Develop overarching IT Strategy	Tom Baker Corporate Head of ICT	31/12/10			New action	N

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
16.18	Local Government Data Handling project to review data security issues including policies responsibilities and communication	Tom Baker Corporate Head of ICT	31/12/10			New action	N



Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
17	Difficulties in achieving health inequality targets and closing the gap on related performance targets/ standards in relation to high profile areas	05/03/2009	Dave Smith, Chief Executive		
Causes					
Lack of defined/ effective mechanisms/ programmes through which to deliver improvements. Failure by the Council and/or its partners to deliver effective contributions. Inability to offer effective solutions/ opportunities Impact of economic downturn					
Impact Details					
Failure to achieve the targeted outcomes/ levels of improvement in the health and wealth of the community. Continuing 'disappointing' performance against key National Indicators					
Current Controls					
Healthy City' thematic group set up under the Sunderland Partnership. Close working with NHS South of Tyne and Wear. Programmes set up to encourage people to take more responsibility for their health and fitness and to provide education, training and employment opportunities for young persons					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City	Y	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City	N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009		3.50	3.39	11.86	
Residual Risk Scores March 2009		3.11	2.72	8.47	Controls put in place

Risk: Difficulties in achieving health inequality targets and closing the gap on related performance targets/ standards in relation to high profile areas							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
17.1	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	30/09/09		01/09/09	Action complete. Completed Targets set out in the LAA and Sunderland Strategy	C
17.2	Healthy City Partnership to identify for each target, stretching but achievable interventions	Nonnie Crawford Director of Public Health	31/03/10			Action on target. Initial interventions have been developed, but other actions will be required to address the long term issues.	T
17.3	Develop a more sophisticated approach to address areas of specific disadvantage to reduce inequalities within Sunderland	Nonnie Crawford Director of Public Health	31/03/10			Action on target. Total Place initiative has commenced and its aim is to develop, Safer, Stronger, Healthier Communities. It involves a Partnership approach across Sunderland, Gateshead and South Tyneside. The following targets remain a concern: NI 136: People supported to live independently through social services (all ages)	T
17.4	Ensure alignment of all sub groups with responsibility for delivering specific health targets	Nonnie Crawford Director of Public Health	31/03/10			Action on target. Initial workshop undertaken in June and options report to be taken to Partnership meeting in November.	T
17.5	Through the workings of the Healthy City Partnership obtain a better understanding of resources available across the city	Nonnie Crawford Director of Public Health	31/03/10			Action on target. Single Investment Plan being developed for the City by Director of Financial Resources	T
17.6	Implement proactive health checks including cardiovascular risk assessments for 40-75 year olds	Nonnie Crawford Director of Public Health	30/09/09		01/09/09	Action complete. Programme up and running	C

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
17.7	Review the types of interventions that can be implemented to address alcohol misuse	Nonnie Crawford Director of Public Health	31/12/09			Action on target. Pilot project within Total Place on Alcohol and Drugs misuse to maximise the effectiveness of services, map out the cause and effects of abuse, agree areas for development .	T
17.8	Continue to monitor and plan for the development and spread of the H1N1 strain of influenza.	Nonnie Crawford Director of Public Health	On-going			Action on target. Work on-going	T

Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
18	Fail to fundamentally reduce child poverty levels in Sunderland	05/03/2009	Helen Paterson, Executive Director of Children's Services		
Causes					
Key triggers are recognised as including: Unemployment, low attainment, teenage conception rates, lone parents, high levels of NEET, high levels of financial exclusion, low take up of family centred services by families in need, poor housing standards for families in need, health inequalities, low aspirations, disability, looked after children					
Impact Details					
Children in poverty lack experience/ opportunities compared to other children. Children are exposed to severe hardship and can become socially excluded. Fail to break down the cycle of poverty -poor children tend to grow up to become poor adults and poor adults tend to produce poor children. Damage to society and local communities, inequality gap becomes greater, local economy suffers, greater drain on resources					
Current Controls					
Formal governance arrangements in place through the LSP with delegated responsibility to Economic Prosperity Partnership. Child Poverty Board formally constituted with named Partners and chaired by Children's Services Portfolio holder. Political leadership through the Child Poverty Champion, Deputy Leader of the Council, Councillor Florence Anderson. Draft Sunderland Child Poverty Strategy. Draft Action plan and agreed outcomes. Planning and delivery by Partners.					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	Y	CIP4 Learning City	Y	CIP7 One Council	Y
CIP2 Healthy City	Y	CIP5 Attractive and Inclusive City	Y	CIP8 Efficient and Effective Council	Y
CIP3 Safe City	Y	CIP6 Customer Focused Services	Y	CIP9 Improving Partnership Working	Y
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009		3.33	3.44	11.48	
Residual Risk Scores March 2009		3.06	3.00	9.17	Controls put in place

Risk: Fail to fundamentally reduce child poverty levels in Sunderland						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target		Progress Update September 2009	Status
			Original	Amended	Completed	
18.1	Establish a Strategic Partnership	Raj Singh Assistant Head of Service, Child Poverty	30/09/09		26/08/09	C
18.2	Conduct research to establish baseline assessment of child poverty and current levels in Sunderland.	Raj Singh Assistant Head of Service, Child Poverty	30/09/09		30/09/09	C
18.3	Formulate a Child Poverty Model.	Raj Singh Assistant Head of Service, Child Poverty	31/12/09		30/09/09	C
18.4	Put in place a Strategic Implementation Plan setting out the Sunderland Model.	Raj Singh Assistant Head of Service, Child Poverty	31/03/10			T
18.5	Align actions with regional policy group on child poverty (coalition)	Raj Singh Assistant Head of Service, Child Poverty	31/01/10	31/03/10		D
18.5	Develop a risk register for the strategy and action plan	Raj Singh Assistant Head of Service, Child Poverty	31/01/10			N

Risk Identification		Risk Status:		Open	
ID	Risk Description	Date Identified		Risk Owner	
19	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	05/03/2009		Dave Smith, Chief Executive	
Causes					
Lack of communication/ understanding of the outcomes and how they can be measured. Conflicting priorities in relation to the delivery of the outcomes. Inability/ unwillingness /confusion to establish and embrace new ways of working to deliver the outcomes					
Impact Details					
Adverse effects on the Comprehensive Area Assessment. Reduced levels of trust/ confidence across/ between strategic partners. Delays in the delivery of Improvement Priorities.					
Current Controls					
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					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City		N	CIP4 Learning City		N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City		N
CIP3 Safe City		N	CIP6 Customer Focused Services		N
			CIP7 One Council		N
			CIP8 Efficient and Effective Council		N
			CIP9 Improving Partnership Working		Y
Risk Assessment		Risk Impact		Risk Likelihood	
Inherent Risk Scores March 2009		3.33		3.17	
Residual Risk Scores March 2009		3.00		2.39	
				Risk Score*	
				10.56	
				7.17	
				Reason for Risk Movement	
				Controls put in place	
				N/A	
				↓	

**Risk:** 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

<b>Risk Mitigation</b>						
<b>Action No</b>	<b>Mitigating Actions</b>	<b>Risk Action Manager</b>	<b>Target</b>		<b>Progress Update September 2009</b>	<b>Status</b>
			<b>Original</b>	<b>Amended</b>		
<b>19.1</b>	Ensure the topic/ requirements are fully covered within the Community Leadership Programme	Phil Spooner Programme Manager	30/09/09		30/09/09 Action complete. Included within the Community Leadership Programme	<b>C</b>
<b>19.2</b>	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	30/09/09		30/09/09 Action complete. Analysis undertaken and data sets available as soon as is practicable. Issues remain over availability of national data	<b>C</b>
<b>19.3</b>	Establish targets/ outcomes where there are no current indicators	Sarah Reed Assistant Chief Executive	30/09/09		30/09/09 Action complete. Targets entered onto performance management system	<b>C</b>
<b>19.4</b>	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	31/12/09		Action on target. Review to be undertaken following receipt of assessment scores.	<b>T</b>
<b>19.5</b>	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	30/09/09		30/09/09 Action complete. Work undertaken to strengthen the Partnerships. Position will continue to be monitored and reviewed	<b>C</b>

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
19.6	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	30/09/09		30/09/09	Action complete. Self assessment developed for LSP. Review is part of the Strategic planning process. Position will continue to be monitored and reviewed	C
19.7	Identify a resource framework for each target within Local Area Agreement / Sunderland Strategy	Keith Beardmore Director of Financial Resources	31/03/10			On target	T



Risk Identification		Risk Status:	Open				
ID	Risk Description	Date Identified	Risk Owner				
20	Failure to find and/or implement suitable arrangements to meet the City's waste collection, management and disposal requirements	05/03/2009	Ron Odunaiya Executive Director City Services				
Causes							
Unable to agree a suitable site. Reduced number of organisations able to tender as a result of the economic recession. Public dissatisfaction and /or ongoing health and safety concerns. Capital cost exceed current estimates. Adverse effects on current kerb side collection contract							
Impact Details							
Reputational damage and political standing local, regional and Central Government level. Each authority will need to identify and implement of its own solution, Loss of economies of scale anticipated from partnership working. Increased time/ effort on managing the current kerb side collection system.							
Current Controls							
The Partnership Board and sub-groups. Partnership's technical review. A communication strategy and plan. Effective arrangements for the management of the current kerb side collection contract.							
Linked with Corporate Improvement Priorities (Yes/ No)							
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N	
CIP2 Healthy City		Y	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N	
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N	
Risk Assessment							
Risk Impact		Risk Likelihood		Risk Score*		Reason for Risk Movement	
Inherent Risk Scores March 2009		3.78		3.28		12.38	
Residual Risk Scores March 2009		3.33		2.33		7.78	Controls put in place

Risk: Failure to find and/or implement suitable arrangements to meet the City's waste collection, management and disposal requirements						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target		Progress Update September 2009	Status
			Original	Amended	Completed	
20.1	Partnership to agree on a location for the site and obtain the required planning permission	Peter High Project Director Strategic Waste	30/09/09		01/09/09 Action complete Site identified within the Gateshead authority for the purposes of the Private Finance Initiative (PFI) Business Case	C
20.2	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	30/09/09	30/10/09	Action delayed Target date changed to 30/10/09 Level of clarifications required during tendering process has not allowed a fully informed decision to be made. Resolution and decision now expected to be made by 30/10/09	D
20.3	New waste management arrangements to be introduced including: <ul style="list-style-type: none"> <li>• New recycling arrangements</li> <li>• New Contract for green waste</li> <li>• New Contract for recyclables</li> <li>• Landfill arrangements</li> </ul>	Peter High Project Director Strategic Waste	30/04/10		Action on target All contracts progressing as expected. No significant issues preventing contract implementation by April '10	T

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
21	Difficulties in ensuring that Sunderland's viewpoint is expressed, recognised and acknowledged within international, national, regional and/ or sub regional forums	05/03/2009	Dave Smith, Chief Executive			
Causes						
Change in the balance of regional/ sub regional partnership working						
Impact Details						
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						
Current Controls						
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 International Strategy						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	Y
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	Y
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		2.89	3.00	8.67		
Residual Risk Scores March 2009		2.67	2.39	6.37	Controls put in place	

Risk: Difficulties in ensuring that Sunderland's viewpoint is expressed, recognised and acknowledged within international, national, regional and/ or sub regional forums						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target			Status
			Original	Amended	Completed	
21.1	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	31/03/10			T
21.2	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	31/03/10			T
21.3	Work with partners to secure their greater involvement in appropriate sub regional/ regional groups etc.	Sarah Reed Assistant Chief Executive	31/03/10			T
21.4	Review Partnership links within the sub region & region to maximise opportunities for Sunderland	Sarah Reed Assistant Chief Executive	31/03/10			T
21.5	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	31/03/10			T
21.6	Ensure all workstreams of Regional Improvement and Efficiency Partnership (RIEP) are supported and opportunities for Sunderland are maximised	Sarah Reed Assistant Chief Executive	31/03/10			T

Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
22	Failure by the Council and/or its strategic partners to fully engage and maximise the advantages from working in partnership with the Third Sector to deliver the outcomes of the Sunderland Strategy and Local Area Agreements	05/03/2009	Ron Odunaiya Executive Director City Services		
Causes					
Lack of understanding of third sector organisations. Lack of appreciation of the contributions the third sector makes and the value they add. Third sector considered to have poor governance arrangements. Third sector considered to have little capacity and/or capability. Fail of partners to effectively support the Third sector.					
Impact Details					
Objectives/ outcomes of the Sunderland Strategy not delivered or fail to meet quality expectations. Third sector become disengaged and alienated.					
Current Controls					
Programme of engagement with Third Sector organisations Third sector represented at LSP, area committees and thematic partnerships. Effective Council support arrangements Working Neighbourhood Fund (WNF)					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City	N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	Y
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009		2.78	3.17	8.80	
Residual Risk Scores March 2009		2.56	2.56	6.53	Controls put in place

Risk: Failure by the Council and/or its strategic partners to fully engage and maximise the advantages from working in partnership with the Third Sector to deliver the outcomes of the Sunderland Strategy and Local Area Agreements							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
22.1	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	31/03/10			Action on target. Work continues to be on target to develop efficient and effective integration of the Voluntary Community Sector via the Community Development Exchange with new Area Arrangements. (X-Ref Risk 6 Action 4).	T
22.2	Secure sign-up to the Sunderland Compact and operate in a 'Compact Compliant' manner;	Julie Gray Head of Community Services	30/04/10			Action on target. The Sunderland Compact was agreed by Sunderland Partnership and Cabinet in June 2009. Voluntary and Community Sector organisations are beginning to sign-up, and expect the majority of organisations will have signed-up by April 2010.	T
22.3	Development of a Corporate Commissioning and Resource Framework for the Voluntary Community Sector (VCS);	Jane Hibberd Assistant Head of Community Services	31/03/10			Action on target. Draft framework is subject to internal review with a view to circulating for wider consultation early 2010.	T
22.4	Review of community assets to determine long term strategy.	Jane Hibberd Assistant Head of Community Services	31/12/09			Action on target. Continue to work closely with Development and Regeneration on the review of community assets and development of a joint report later this year.	T

Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
23	Inadequate preparation to support the transfer of responsibility for 16-19 funding from the Learning and Skills Council (LSC) to Local Authorities in 2010	05/03/2009	Helen Paterson, Executive Director of Children's Services		
Causes					
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. There is currently a lack of clarity regarding the transition, in particular for funding arrangements, support availability, resource allocation and proposed infrastructures.					
Impact Details					
Sunderland unable to influence regional and sub regional decisions. Fail to align children and young people learning with adult learning. 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.					
Current Controls					
Tyne & Wear and Northumberland Sub Regional Group (SRG) . Thematic sub groups e.g. Learning Difficulties and Disabilities (LDD). Shadow Regional Planning Group. Regional Planning Forum. Sunderland's Machinery of Government Project Board. North East Interim Regional Planning Group (RPG). 14-19 Partnership. Children's Trust					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	N	CIP4 Learning City	Y	CIP7 One Council	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City	N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009	3.22	3.00	9.67		N/A
Residual Risk Scores March 2009	3.10	1.70	5.28	Controls put in place	↓

Risk: Inadequate preparation to support the transfer of responsibility for 16-19 funding from the Learning and Skills Council (LSC) to Local Authorities in 2010							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
23.1	Define regional and sub regional working arrangements and protocols including conflict resolution	Lynda Brown Head of Standards, Children's Services	31/03/10			Action on target. Regional and sub regional working arrangements in draft but there has been no detailed discussion on content to date.	T
23.2	Produce a project plan to support the tracking and transition years	Lynda Brown Head of Standards, Children's Services	30/09/09		30/09/09	Action Complete. Initial plan in place - to be updated as project progresses	C
23.3	Identify demand and plan provision to meet needs of young people (Sept Guarantee)	Lynda Brown Head of Standards, Children's Services	31/10/09			Action on target. Strategic analysis completed by Learning & Skills Council. Local Authority to quality assure by Oct 09.	T
23.4	Set out commissioning plan to achieve growth targets in participation for September 2010	Lynda Brown Head of Standards, Children's Services	31/07/10			Action on target. Within strategic analysis completed by Learning & Skills Council. Council to quality assure	T
23.5	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	30/09/09		30/09/09	Action Complete. Communication plan in place - to be updated as project progresses.	C
23.6	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	31/03/10			Action on target. Agreement to roles and responsibilities progressing.	T



Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
24	Failure of the Council to deliver the Sunderland Strategic Transport Corridor (SSTC) in timely and effective manner	05/03/2009	Ron Odunaiya Executive Director City Services			
Causes						
Delays in the decision making process Difficulties in site availability and/or preparation Technical difficulties in bridge design and construction 'Substandard' performance of contractors						
Impact Details						
Project overrun Increased costs Impairment of reputation and political standing						
Current Controls						
Agreed Project Governance structure in place with robust project management and reporting arrangements Strict Procurement procedures in place to carry out rigorous evaluation and selection of contractors / consultants Comprehensive assurance arrangements in place to oversee and monitor key project activities						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		Y	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.67	3.39	12.43		
Residual Risk Scores March 2009		3.39	2.56	8.66	Controls put in place	

Risk: Failure of the Council to deliver the Sunderland Strategic Transport Corridor (SSTC) in timely and effective manner						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target		Progress Update September 2009	Status
			Original	Amended	Completed	
24.1	Produce a report in regard to the selection options for the proposed new bridge	David Abdy SSTC Project Director	30/09/09		04/09/09 Action complete. A Cabinet paper was developed and submitted for 9/9/09 meeting which details the how the landmark bridge concept could be translated into a design that could be manufactured, constructed and maintained within the current cost envelope. This information would be used to assist a decision of the bridge option to choose.	C
24.2	Submit Planning Application	David Abdy SSTC Project Director	30/09/09	13/11/09	Action delayed. Target date changed to 13/11/09. Re-scheduled to enable a better quality application to be prepared, focussing on the Traffic Modelling.	D
24.3	Finalise concept bridge funding strategy	David Abdy SSTC Project Director	30/09/09		04/09/09 Action complete. A Funding and Risk Strategy paper has been developed and information from this has been submitted with the Cabinet paper (9/9/09)	C
24.4	Submit Compulsory Purchase Orders (CPO) to Gov Office North East	David Abdy SSTC Project Director	30/09/09		Action on target. Compulsory Purchase Order (CPO) scheduled to be submitted on 23/9/09.	T
24.5	Develop draft Procurement Strategy	David Abdy SSTC Project Director	30/09/09	08/10/09	Action delayed. Target date changed to 8/10/09. A Legal and Procurement Group has been established and are working towards finalising the Procurement Strategy with the help of a Procurement expert from Fabers Maunsell. Strategy due to be submitted to next Project Board (8/10/09) for agreement.	D
24.6	Develop draft Consultation / Communication Strategy	David Abdy SSTC Project Director	30/09/09		27/08/09 Action complete. The Communication Strategy was agreed at Project Board in August 09.	C
24.7	Appoint Bridge Designer for Detailed Design	David Abdy SSTC Project Director	30/11/09		New action	N
24.8	Appoint Highways Designer for Detailed Design	David Abdy SSTC Project Director	30/11/09		New action	N
24.9	Appoint Category 3 Checker, for bridge design	David Abdy SSTC Project Director	31/01/10		New action	N

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
24.10	Complete Bridge and Highways design	David Abdy SSTC Project Director	31/10/10			New action	N
24.11	Submit MSBC to DfT for Conditional Approval	David Abdy SSTC Project Director	31/12/10			New action	N
24.12	Obtain CPO Powers and Consents (subject to Public Inquiry, mid 2010; and potential SofS call in, Feb 2011)	David Abdy SSTC Project Director	28/02/11			New action	N
24.13	DfT approve Conditional Approval business case	David Abdy SSTC Project Director	28/02/11			New action	N

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
25	Failure to deliver the key physical regeneration projects (including the City Centre and the Sea Front)	05/03/2009	Janet Johnson, Deputy Chief Executive			
Causes						
Lack of demonstrable progress on several high profile developments. Current economic downturn impacting on potential development of sites (further delays caused by developers' lack of interest, lack of funding etc) 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 Difficulties in site availability and/or preparation						
Impact Details						
Lost opportunities to access funding and 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						
Current Controls						
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.						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		Y	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.78	3.44	13.01	N/A	
Residual Risk Scores March 2009		3.33	3.00	10.00	Controls put in place	

Risk: Failure to deliver the key physical regeneration projects (including the City Centre and the Sea Front)							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
25.1	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	31/03/10			Action on target. Work progressing on a number of development opportunities eg working with Her Majesty's Court Service (HMCS).	T
25.2	Deliver and monitor the Sunderland ARC (Urban Regeneration Company) business plan	Janet Johnson, Deputy Chief Executive	31/03/10			Action on target. Work progressing on the delivery of the Business Plan. Council sit on the Sunderland arc Board to monitor progress.	T
25.3	Ensure that suitable resources are aligned with Project Initiation and Development	Janet Johnson, Deputy Chief Executive	31/03/10			New Action Looking at various funding streams and ways to increase skills base. City Centre Programme Board now in place.	N
25.4	Ensure regeneration activities align with Statutory Framework (eg Local Development Framework etc) and Economic Development Masterplan	Janet Johnson, Deputy Chief Executive	31/03/10			New Action. Work progressing to co-ordinate all the regeneration work. Steering Committee and Working Group in place to monitor developments.	N

Risk Identification		Risk Status:	Open	
ID	Risk Description	Date Identified	Risk Owner	
26	The Economic Master Plan and/ or Single Investment Plan is not fit for purpose	05/03/2009	Dave Smith, Chief Executive	
Causes				
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				
Impact Details				
Opportunities to deliver the Sunderland Strategy are not implemented/ are not maximised. The City fails to diversify its employment base				
Current Controls				
Dedicated team (under the leadership of Vince Taylor, Head of Strategic Economic Development) is overseeing the production of the economic masterplan. Extensive consultation with partners.				
Linked with Corporate Improvement Priorities (Yes/ No)				
CIP1 Prosperous City	Y	CIP4 Learning City	N	
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	
CIP3 Safe City	N	CIP6 Customer Focused Services	N	
		CIP7 One Council	N	
		CIP8 Efficient and Effective Council	N	
		CIP9 Improving Partnership Working	N	
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009	3.83	3.39	12.99	
Residual Risk Scores March 2009	3.50	2.61	9.14	Controls put in place

Risk: The Economic Master Plan and/ or Single Investment Plan is not fit for purpose							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
26.1	Review/ develop the communication strategy for the Economic Masterplan that ensures effective engagement with partners and stakeholders.	Vince Taylor Head of Strategic Economic Development	30/09/09		30/09/09	Action complete. Strategy developed and communications officer appointed. Strategy to be continually reviewed.	C
26.2	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	30/09/09		30/09/09	Action complete. GENECON have produced a Baseline paper 'Setting a Direction: Position Statement'	C
26.3	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	30/09/09		30/09/09	Action complete. Potential directions have been identified and appraised. Difficulties were encountered in identifying the baseline position due to the economic downturn.	C
26.4	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	31/03/10			Action on target. Aims have been developed with quantitative work on going to produce detailed objectives	T

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
26.5	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	30/09/09		30/09/09	Action complete. Review undertaken and opportunities identified eg Offshore wind farming technology and City Centre development. Strategies to be produced for these areas by March 10	C
26.6	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	30/09/09		30/09/09	Action complete. City Centre Board established	C
Actions identified to support 'quick wins' for the local economy are outlined below							
26.7	Review the effectiveness of the single point of contact for initial business help enquiries in the city.	Lee Cranston Assistant Head of Corporate Policy	31/03/10			Action on target. Single point of contact introduced by business Link North East. Effectiveness being monitored	T
26.8	Review the effectiveness of the business support services in the city.	Lee Cranston Assistant Head of Corporate Policy	31/12/09			Action on target. Following a review of advice services in the city a number of developments have been implemented to improve access. These include commissioning voluntary and community sector organisations to provide advice services within local community settings and doing more to coordinate the provision of advice services across the council.	T
26.9	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	31/03/10			Action on target. A brochure comprehensively setting out the business support offer, including the new measures introduced locally and nationally, was produced and distributed to all businesses in the city Advice and support has also been provided through a series of Business Link North East events	T
26.10	Continue to promote the availability of Small Business Rate Relief	Lee Cranston Assistant Head of Corporate Policy	31/03/10			Action on target. A detailed newsletter was sent to every business in the city, reminding them of the small business rate relief, and also to explain changes advised by Government.	T
26.11	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	30/09/09		30/09/09	Action complete. A number of actions are included within the new Procurement Strategy to secure an increase in the use of local suppliers. A bid for Working Neighbourhood Fund (WNF) monies is being considered by the WNF Board on 15th September to fund a project to assist with this aim.	C
26.12	Continue to develop and implement a promotional campaign to attract leisure visitors to the City.	Lee Cranston Assistant Head of Corporate Policy	31/12/09			Action on target. The Sunderland tourism team is working with the Area Tourism Partnership on a number of campaigns to actively encourage visitors to spend time, and in essence, money in Sunderland.	T



Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
26.13	Continue to roll out the measures set out in the Working Neighbourhoods Strategy.	Lee Cranston Assistant Head of Corporate Policy	31/03/10			Action on target. A number of initiatives that will support people into work or self employment have been progressed as part of the Working Neighbourhoods Strategy	T
26.14	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	30/09/09		30/09/09	Action complete. Programme introduced and recruitment of apprentice has doubled	C
26.15	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	30/09/09		30/09/09	Action complete. An internet portal has been developed that provides access to a comprehensive menu of advice and information. This covers advice on benefits, money management, dealing with redundancy and finding employment.	C
26.16	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	31/03/10		30/09/09	Action complete. A 'Handy Tips' guide was reviewed and distributed to all households in the city. The guide provided information on free advice, free activities and special offers to help people use resources more effectively during the economic downturn.	C
26.17	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	30/09/09		30/09/09	Action complete. Sessions delivered	C
26.18	Review the 'In and Out of Work' pilot initiative.	Lee Cranston Assistant Head of Corporate Policy	31/03/10			Action on target. The council's Benefit Service has introduced the 'In and Out of Work' pilot project. Using Government Connect, the council, the Tax Credit Office and the DWP are now able to share in and out of work claims effectively and efficiently	T
26.19	Promote and provide advice on the government's mortgage support products.	Lee Cranston Assistant Head of Corporate Policy	30/09/09		30/09/09	Action complete. The council is offering advice on the government's Mortgage Rescue Scheme to assist people with mortgage related problems	C

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
26.20	Accelerate the consideration of the Local Housing Company option.	Lee Cranston Assistant Head of Corporate Policy	31/12/09			Action on target. Now included within risk 1	M T
26.21	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	30/09/09		30/09/09	Action complete. Quick wins identified for the City Centre. Key projects group set up to ensure early completion of identified projects	C
26.22	Encourage the employment of local labour and local businesses by identifying opportunities to increase the use of targeted employment and training clauses in appropriate council tenders	Lee Cranston Assistant Head of Corporate Policy	30/09/09		30/09/09	Action complete. A new post of Capital Procurement Manager has been agreed by the Personnel Committee on 3rd September. One of the functions of this new post will be to identify opportunities for the use of targeted employment and training clauses and ensure they are used where appropriate.	C

Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
27	High profile or widespread failure to meet obligations and expectations linked to the Council's responsibilities for safeguarding children and young people	05/03/2009	Helen Paterson Executive Director of Children's Services		
Causes					
A high profile incident of abuse against a child or young person. Critical Ofsted feedback arising from Unannounced Inspection. 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 adequate numbers of qualified and experienced 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. Failure to allocate child protection or looked after children cases and thus leaving vulnerable children 'at risk'Critical Ofsted judgement of standard of high profile Serious Case Review report provided by the Council.					
Impact Details					
Children are seriously harmed. Loss of public confidence. Damage to reputation with any/all stakeholder groups. Increased stress/ reduced motivation within staff Efficiency losses (with consequent budgetary impacts) Diversion of management time into this audit, review, inspection process					
Current Controls					
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. An audit of cases open to case management has been undertaken, including all vulnerable unborn, all children subject to a child protection plan, all children in need aged 0 - 5 and a 10% sample of CiN aged 5 - 18. The audits have been undertaken by external auditors. 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. Post Haringey audit complete. Case procedures reviewed and revised. Initial assessments undertaken by the Initial Response Team - Case Management. Quality Assurance sub group of Safeguarding Board receives data and provides adequate challenge at monthly meetings. Project Board, 2 task groups, action plan, risk logs and self assessment tool for announced/ unannounced inspections.					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City	Y	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	Y
Risk Assessment					
Risk Impact		Risk Likelihood		Risk Score*	
Inherent Risk Scores March 2009		3.83		3.11	
Residual Risk Scores March 2009		3.33		2.11	
				11.93	
				7.04	
				Controls put in place	
				↓	

Risk: High profile or widespread failure to meet obligations and expectations linked to the Council's responsibilities for safeguarding children and young people							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
27.1	Implement Safeguarding Business Improvement Project (BIP) which focuses on case management.	Children's Service Strategy Implementation Manager	31/01/10	31/03/11		Action delayed. The PID has been completed and will go to the Programme Board by December 09. The project implementation date has been amended from 31/01/10 to 31/03/11 to provide clear linkage with the 'Sunderland Way of Working' programme. New Head of Service for Safeguarding, Meg Boustead commenced 02.11.09.	D
27.2	Work with corporate Performance Improvement Team to strengthen quality assurance framework	Safeguarding and QA Manager	30/09/09		30/09/09	Action complete. An extensive amount of work has been completed including a post Haringey audit which led to a review and revision of routine case procedures. All initial assessments are undertaken by the Initial Response Team in Case Management. Audits have been undertaken on all child in need cases.	C
27.3	Move initial assessments to Initial Response Teams	Assistant Head of Safeguarding	30/09/09		30/09/09	Action complete. Initial assessments have been moved to Initial Response Teams apart from assessments for disabled children, as intended.	C
27.4	Prepare for new unannounced Ofsted inspections for Initial Response Teams	Assistant Head of Safeguarding	30/09/09		30/09/09	Action complete. Project Board and two task groups are leading on the announced and unannounced inspections. Work is progressing on the completion of the self assessment. An action plan and risk log is in place.	C
27.5	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	31/03/10		30/09/09	Action complete. Quality Assurance sub group receives data and provides adequate challenge at monthly meetings.	C
27.6	Implement actions from the Sunderland Children's Trust Laming Plan	Sue Winfield - TPCT / Keith Moore DEDCS	31/12/09	01/04/10		Action delayed. Janet Newton attends group. An action plan has been developed and is currently being monitored and amended. The implementation of all actions has been delayed from 31/12/09 to the 01/04/10. This is due to the reliance upon national guidance in order to complete a number of original recommendations.	D
27.7	Complete the actions within the self evaluation toolkit and risk logs to ensure that safeguarding services have in place appropriate evidence to meet inspection criteria	Head of Safeguarding	31/12/09			New Action	N

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
27.8	Agreement to over-recruit into those parts of the service to which work has been reallocated.	Head of Safeguarding	31/01/10			New Action Recruitment process for a fostering officer has commenced - anticipated start date early 2010	N

Risk Identification		Risk Status:	Open	
ID	Risk Description	Date Identified	Risk Owner	
28	Failure to maximise the availability and productivity of employees	05/03/2009	Dave Smith, Chief Executive	
Causes				
Unplanned absence levels. Incomplete/ inconsistent implementation of standards/ requirements around performance management and training and development policies				
Impact Details				
Reduced levels of staff morale/ job satisfaction. Consequent reductions in efficiency and effectiveness. Increased levels of staff turnover/ linked additional costs of recruiting and training replacements Utilisation of e-learning will improve through using this approach to support key change initiatives, directing people towards the resource through the Sunderland Leadership Programme and other training events. Increasing the capacity and ability of Union Learning Representatives to engage front-line employees, with a particular initial focus on "skills for life"				
Current Controls				
A comprehensive absence management policy, with supporting arrangements and procedure is in place a Pilot project with the health service and funded by PCT: health checks to identify and track key health stats with 'key risk groups' Absence management is one of the Business Improvement Projects (BIP).The council now has a comprehensive suite of e-learning modules				
Linked with Corporate Improvement Priorities (Yes/ No)				
CIP1 Prosperous City	N	CIP4 Learning City	N	
CIP2 Healthy City	Y	CIP5 Attractive and Inclusive City	Y	
CIP3 Safe City	N	CIP6 Customer Focused Services	N	
		CIP7 One Council	N	
		CIP8 Efficient and Effective Council	Y	
		CIP9 Improving Partnership Working	N	
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009	3.26	3.26	10.65	
Residual Risk Scores March 2009	2.89	2.79	8.07	Controls put in place

Risk: Failure to maximise the availability and productivity of employees							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
28.1	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	31/03/10			Action on target. Attendance management project. Employee Well-being Project. OHU waiting lists reduced.	T
28.2	Review employee communications strategy, in particular to emphasise the Council's responses to the effects of the current economic downturn	Sue Stanhope Director of HR & OD	31/12/09			Action on target. Key messages and FAQs included in communication plan for Sunderland Way of Working and Operating Model. E-Learning module covering the key messages and manager's role in supporting the change developed and being shared with Heads of Service for refinement, prior to cascading to all managers. Workwise September edition, delayed for 1 month in order to pick up key messages. Other messages and vehicles for communication being developed as part of project.	T
28.3	Ensure roll out of planned health and safety monitoring arrangements	Sue Stanhope Director of HR & OD	30/09/09		30/09/09	Action completed Monitoring process rolled out across the Council	C
28.4	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	31/12/09			Action on target. Already included in appraisal documentation, within the job knowledge section. The one-to-one discussion provides opportunity for managers to discuss any H&S related issue. The current Audit will provide an overview of how well this is happening.	T
28.5	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	31/12/09			Action on target. Internal Audit are currently reviewing levels of manager engagement and will report to the Director of HR and OD and relevant heads of service	T

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
28.6	The Sunderland Leadership Programme has a strong focus on leading teams and individuals. 350 people have completed and 70 are currently enrolled in the programme at levels 2 to 5. A level 7 Heads of Service Strategic Leadership Programme will commence late in 2009 and will involve all Heads of Service.	Sue Stanhope Director of HR & OD	31/03/10			New action	N
28.7	Establish a full-time role of e-learning consultant to enable us to quickly develop and enable e-learning responses to most learning challenges.	Sue Stanhope Director of HR & OD	31/03/10			New action.	N



Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
29	Failure to corporately implement the Local Government Data Handling Guidelines	05/03/2009	Bob Rayner, Chief Solicitor		
Causes					
Information/ data is lost or corrupted through: inadvertent human error, malicious act, inherent weaknesses in existing information/ data security arrangements (e.g. remote devices such as laptops are not encrypted). Information /data is mismanaged as a result of lack of understanding and/or human error					
Impact Details					
Data/ information quality is impaired Confidential information is leaked and/or breach of data protection legislation occurs					
Current Controls					
Link Officers are in place across the authority who deal with Freedom of Information and Data Protection issues. The Corporate Information Management Strategy is reviewed annually and revised accordingly. Information Governance Training has taken place for the last four years. Information Governance now forms part of the Council's Induction Training. Guidance notes and documents are available on the Intranet covering all areas of Information Governance. A Data Protection Audit Schedule has been developed by the Data Protection Officer.					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	Y
CIP3 Safe City	N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment					
Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement		
Inherent Risk Scores March 2009	3.37	3.00	10.11		N/A
Residual Risk Scores March 2009	2.79	2.42	6.75	Controls put in place	↓

Risk: Failure to corporately implement the Local Government Data Handling Guidelines

### Risk Mitigation

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
29.1	Executive Management Team to sign up to guidelines	Rhiannon Hood Assistant Chief Solicitor	30/09/09		30/09/09	Action complete. Report agreed	C
29.2	Corporate Information Risk Officer to be appointed	Rhiannon Hood Assistant Chief Solicitor	30/09/09		30/09/09	Action complete. Rhiannon Hood Assistant Chief Solicitor is the Corporate Information Risk Officer .	C
29.3	Gap analysis to be undertaken of current practices and guidelines	Rhiannon Hood Assistant Chief Solicitor	31/12/09			Action on target. Work on going	T
29.4	Information Charter to be developed	Rhiannon Hood Assistant Chief Solicitor	30/09/09		30/09/09	Action complete. Charter developed	C
29.5	Information Risk Policy and plans to be developed to include; roles and responsibilities, governance, information asset owners data archiving, disciplinary procedures for failing to adhere to data protection policies, use / security of portable devices	Rhiannon Hood Assistant Chief Solicitor	31/12/09			Action on target. Work on going	T
29.6	Data quality action plan to be produced and implemented linked to Comprehensive Area Assessment use of resources requirements	Sarah Reed Assistant Chief Executive	30/09/09		30/11/09	Action complete. Improvement plan implemented	C
29.7	Begin installation of performance management system	Sarah Reed Assistant Chief Executive	30/09/09		30/11/09	Action complete. Implementation commenced.	C
29.8	Develop project plan to implement Local Government Data Handling Guidelines	Rhiannon Hood Assistant Chief Solicitor	31/03/09			New action	N

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
29.9	Develop risk register for project to implement Local Government Data Handling Guidelines	Rhiannon Hood Assistant Chief Solicitor	31/03/10			New action	N

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
30	Inadequate resilience to / communication on major incidents	05/03/2009	Janet Johnson, Deputy Chief Executive			
Causes						
Ineffective Business Continuity Plans Failure to recognise and appropriately prioritise critical functions. Failure to identify interdirectorate dependencies Lack of communication/ assurance of understanding Failure to test Plans to check/ strengthen their likely effectiveness in practice						
Impact Details						
Unnecessarily delayed/ impaired/ inefficient / ineffective deployment of key services Danger to Council staff or the public and consequent liability claims Public Inquiry and consequent adverse publicity Damage to reputation and political standing Delay to the recovery process leading to financial loss						
Current Controls						
Council Business Continuity Plans in place which are being reviewed in line with new British Standard (audited annually) Quarterly Business Continuity Working Group in place. Corporate buy in (directors have taken ownership for business continuity) Satellite phone capabilities are in place to improve the councils ability to communicate with local agencies. There are fall back positions in place if the Civic Centre is unable to be occupied Well established arrangements for event planning and co-ordination.						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment						
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.79	2.58	9.77	N/A	
Residual Risk Scores March 2009		3.26	2.05	6.70	Controls put in place	

Risk: Inadequate resilience to / communication on major incidents

### Risk Mitigation

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
30.1	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	31/12/09	31/03/10		Action delayed. Target date changed to 31/3/10 Priority on Swine Flu has prevented progression. New BCM officer is now in post and will be developing this as a priority.	D
30.2	Additional testing around Business Continuity Plans	Barry Frost Security and Emergency Planning Manager	31/12/09			Action on target. Exercise to test plans to take place before the end of the year.	T
30.3	Review back up for the telecare system	Graham King Head of Performance, Commissioning and Change	30/09/09		30/09/09	A review of the back up arrangements has been undertaken and new actions identified as a result of the review, to be added once delivery dates confirmed.	C
30.4	Monitor the delivery of the improvement programme developed by the Emergency Response Planning Team	Barry Frost Security and Emergency Planning Manager	31/12/09	31/03/10		Action delayed. Target date changed to 31/3/10 Priority on Swine Flu has prevented progression. New BCM officer is now in post and will be developing this as a priority.	D
30.5	Plan exercise for emergency planning / resilience (for Sunderland)	Barry Frost Security and Emergency Planning Manager	31/12/09			Action on target. Beachmaster exercise held 14-15 September 09. Strategic Norland exercise (exclusively for Sunderland) is planned for 7/10/09.	T

Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
31	Failure of the organisation to have an overall approach to Sustainability	05/03/2009	Janet Johnson Deputy Chief Executive			
Causes						
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 and growth in energy consuming aspects of service delivery.						
Impact Details						
Higher costs of fuels/ utilities/ transportation, enforcement actions etc Adverse publicity and undermining of respect for its advisory, guidance and education roles in the wider community						
Current Controls						
Corporate carbon plan has been developed and adopted (support from the Council's Executive Management and Elected Members). 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. Templates for sustainability assessments/ appraisals have been developed for projects. Programmes of staff awareness are being completed.						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		Y	CIP5 Attractive and Inclusive City	Y	CIP8 Efficient and Effective Council	Y
CIP3 Safe City		N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		2.89	3.16	9.14	N/A	
Residual Risk Scores March 2009		2.63	2.58	6.79	Controls put in place	

Risk: Failure of the organisation to have an overall approach to Sustainability

### Risk Mitigation

Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
31.1	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	30/09/09	31/01/10		Action delayed. Target date changed to 31/1/10. Part (a) of the action completed in July 09. Part (b) is delayed	D
31.2	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 <b>(complete)</b> , Installation of multi function printers - Oct 09, Automatic PC shutdown - Oct 09.)	Jim Gillon Sustainability Co-ordinator	31/10/09	31/03/10		Action delayed. Target date changed to 31/3/10. Bi-monthly Cut Your Carbon campaign ongoing. Installation of mains fed water coolers is complete. Installation of multi function printers is delayed. Procurement of the new printers had to be stopped. Retendering contract by Dec 09. Automatic PC shutdown delayed. Waiting for EMT report to be considered.	D
31.3	Develop and implement the environmental policy across the Council	Jim Gillon Sustainability Co-ordinator	30/09/09	31/03/10		Action delayed. Target date changed to 31/3/10. Due to other pressures (eg World Cup Bid) preventing work on preparing relevant EMT report.	D

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
31.4	Identify preferred provider to deliver cremator upgrade (mercury emissions)	Les Clark Head of Street Scene	31/01/10			Action on target Scoping Document has been completed in preparation for commencement of the Restricted Official Journal of the European Union (OJEU) tendering process by the end of September '09	T
31.5	Implement solution to effectively control mercury emissions from cremators	Les Clark Head of Street Scene	30/09/10			Action on target. Action remains of target, however it is directly dependant on the satisfactory completion of Action 4 above.	T



Risk Identification		Risk Status:	Open			
ID	Risk Description	Date Identified	Risk Owner			
32	Failure to provide a fit for purpose integrated infrastructure to ensure safe and effective travel in the city	05/03/2009	Ron Odunaiya Executive Director City Services			
Causes						
Incorrect policies and standards to improve road safety Necessary highway improvements and infrastructure delayed as a result of budgeting constraints Impacts from work performed by public utility operators Adverse effects of climate change Central Government changes to policy standards and funding						
Impact Details						
Potential injury to the public leading to possible litigation, damage to reputation and financial costs Customer dissatisfaction						
Current Controls						
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)						
Linked with Corporate Improvement Priorities (Yes/ No)						
CIP1 Prosperous City		N	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City		N	CIP5 Attractive and Inclusive City	Y	CIP8 Efficient and Effective Council	N
CIP3 Safe City		Y	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment		Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009		3.00	3.11	9.32	N/A	
Residual Risk Scores March 2009		2.79	2.95	8.22	Controls put in place	

Risk: Failure to provide a fit for purpose integrated infrastructure to ensure safe and effective travel in the city							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
32.1	Develop school travel plans	Stephen Pickering Deputy Exec Director City Services	31/03/10			Action on target. We have an assistant working with the travel coordinator and all schools have been contacted. Work progressing.	T
32.2	Produce Highways Asset Management Plan	Stephen Pickering Deputy Exec Director City Services	31/03/10			Action on target. Work progressing to collect and collate data. Currently digitising the highway network. Video surveys have also been completed. Work left to do includes: consulting on service standards, agree levels of treatment and valuation of networks etc	T
32.3	Implement Local Road Safety plan and programmes	Stephen Pickering Deputy Exec Director City Services	31/03/10			Action on target. Prioritisation matrix has been agreed and a provisional work programme is being worked up at present.	T
32.4	Develop major employers travel plans	Stephen Pickering Deputy Exec Director City Services	31/03/10			Action on target. There is an agreed work programme in place across Tyne & Wear and a quarterly work schedule is produced to cover the development of travel plans.	T
32.5	Undertake comprehensive review of speed limits and implement programme for speed reductions	Stephen Pickering Deputy Exec Director City Services	31/12/09			Action on target. Review of 40mph speed limits has been completed and recommendations are being considered. Review of 60mph speed limits is underway and results are expected in Oct 09. Currently seeking member advice for introducing 20mph speed limits within the city.	T
32.6	Deliver and plan highways and road safety improvement programmes	Stephen Pickering Deputy Exec Director City Services	31/03/10			Action moved and on target. Merged with Action 32.3.	M T
32.7	Support Nexus in the redesign of the bus corridor improvement programme	Stephen Pickering Deputy Exec Director City Services	31/03/10			Action on target. Major Case Business Case has been developed for Phase 1 of the Tyne & Wear Bus Corridor Improvement Programme and submitted to Department for Transport (DfT) for Programme Entry.	T

Risk Identification		Risk Status:	Open
ID	Risk Description	Date Identified	Risk Owner
33	Failure to maximise the benefits and opportunities of partnership working	05/03/2009	Dave Smith, Chief Executive
Causes			
Opportunities and/or benefits not maximised as a result of not considering alternative ways of delivering services through partnership working (including shared services)			
Impact Details			
Services are not delivered efficiently and/or effectively. Increased costs. Reduced levels of customer satisfaction			
Current Controls			
Partnership code of practice. Partnership annual questionnaire and review. Robust procedures to support the development and management of partnerships and commissioning activities			
Linked with Corporate Improvement Priorities (Yes/ No)			
CIP1 Prosperous City	N	CIP4 Learning City	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N
CIP3 Safe City	N	CIP6 Customer Focused Services	N

Risk: Failure to maximise the benefits and opportunities of partnership working							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
33.1	Code of practice to be reviewed and reissued by March 10 to further ensure effective governance of partnerships	Paul Davies Head of Audit & Procurement	31/03/10			Action on target. Responsibility for developing the Council's arrangements for partnerships has transferred to the Assistant Chief Executive. The Head of Audit and Procurement and Head of Risk Management and Insurance shall support the planned review.	T
33.2	Develop a partnership working group	Sarah Reed Assistant Chief Executive	31/03/10			Action on target. Resources identified to develop the group	T
33.3	Corporately develop a core competencies and development programme for partnership managers	Sarah Reed Assistant Chief Executive	31/03/10			Action on target. Work ongoing	T
33.4	Consider arrangement for the co-ordination of partnership activities and compliance with the Code of Practice	Sarah Reed Assistant Chief Executive	31/03/10			Action on target. Work on going	T

Risk Identification		Risk Status:	Open	
ID	Risk Description	Date Identified	Risk Owner	
34	Failure to respond to demographic trends and the needs and aspirations of the residents of the city in relation to Adult Social Care	05/03/2009	Neil Revely, Executive Director of Health Housing & Adult Services	
Causes				
Outsourced providers reduce, suspend or withdraw services (e.g. the closure of a residential care home)				
Inability to identify and ensure deliver of interim /alternative services that fully meet customer needs				
Partners withdraw investment from services that they are delivering				
Insufficient funding and resources to allow delivery of services in full ( e.g. potential significant shortfall in funding for home improvement grants)				
Inability to manage and implement change (within the Council and/or across its partners/ outsourced service providers)				
Partners unable to develop/ provide/ introduce alternative service delivery mechanisms in timely manner				
Impact Details				
Increase in unnecessary ill health, pain/ suffering or stress from delays in / interruptions to the delivery of services				
Increase in complaints/ Increase in liability claims against the Council (even if they relate to the acts or omissions of its partners)				
Budget overspends				
Failure to meet performance targets				
Adverse publicity / damage to reputation and political standing				
Services delivered are unsuitable or not to required standards				
Current Controls				
Regular reviews of Individual case assessments and requirements completed.				
Partnership approach to service delivery e.g with South of Tyne NHS Trust and Gentoo				
Customers are enabled to manage their own care programmes via are direct payments.				
Independent living facilitated through home adaptations from the Home Improvement Agency				
Consultation with outsourced service providers 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 and use PRINCE2 project management methodology.				
Linked with Corporate Improvement Priorities (Yes/ No)				
CIP1 Prosperous City	N	CIP4 Learning City	N	
CIP2 Healthy City	Y	CIP5 Attractive and Inclusive City	N	
CIP3 Safe City	N	CIP6 Customer Focused Services	Y	
		CIP7 One Council	N	
		CIP8 Efficient and Effective Council	N	
		CIP9 Improving Partnership Working	N	
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement
Inherent Risk Scores March 2009	3.64	3.00	10.92	
Residual Risk Scores March 2009	3.10	2.03	6.29	Controls put in place

Risk: Failure to respond to demographic trends and the needs and aspirations of the residents of the city in relation to Adult Social Care							
Risk Mitigation							
Action No	Mitigating Actions	Risk Action Manager	Target		Completed	Progress Update September 2009	Status
			Original	Amended			
34.1	Implement 3-year delivery plan, which is broken down into individual projects.	Graham King Head of Performance, Commissioning & Change	31/03/12			Action on target. Although there has been slippage in some individual projects, progress overall remains on target. Key changes include the closure and restart of "Managing the Market" - due to a change in scope and the merger of 2 projects as the work to be completed was so integrated it would have duplicated actions and outcomes. The plan has also been revised to include key housing projects.	T
34.2	Review and refresh the plan on an annual basis.	Graham King Head of Performance, Commissioning & Change	31/03/10			Action on target. The plan is regularly reviewed and changes have already been identified and implemented. This will continue.	T
34.3	Delivery via projects:	Graham King Head of Performance, Commissioning & Change	31/03/10		14/09/09	Action complete. Deliverables now included as separate, specific actions.	C
34.4	Care Brokerage: Implement Self-directed Support across all client groups	Graham King Head of Performance, Commissioning & Change	31/03/10			Action on target. There has already been some slippage in the pilot and further Learning Disability cases still need to be loaded for testing to give a sufficient sample to allow evaluation. Still need to put an evaluation framework in place before rollout can proceed. Progress monitored through regular reporting to Health, Housing and Adult Services Programme Office which will give early indicator if project at risk of missing Target Date.	T
34.5	Transitions: establish a specialist transitions service	Graham King Head of Performance, Commissioning & Change	30/04/09	31/03/11		Action delayed. Target date changed to 31/3/11 Transitions team not yet in place due to resourcing issues. These are being addressed but as the staff involved currently provide 24 hour support backfill arrangement need to be in place before release dates can be agreed, still to be confirmed. Revised Target Date provisionally set for end of delivery plan, to be amended when actual date known.	D
34.6	Care Management and Assessment	Graham King Head of Performance, Commissioning & Change	31/03/10			Action on target. Care Management and Assessment model approved by Board.	T

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
34.7	Intensive Support for independent living at home: Stage 1 - take forward areas already identified / Stage 2 - define / identify new developments to be taken forward	Graham King Head of Performance, Commissioning & Change	31/03/10			Action on target. Some pilot work has begun for the Evening Homecare Service. Take up of this has been slower than expected with existing service users but need to be reviewed against new users of the service to identify barriers. Digital Challenge funding secured for 10 fingerprint door entry systems and the trial of this will proceed when an installer is identified.	T
34.8	Low level prevention strategies: Pilots to be agreed by Directorate Management Team and in progress	Graham King Head of Performance, Commissioning & Change	31/03/10			Action on target. 1st pilot is the implementation of a Prevention Checklist, now at 2nd draft. Procedures to handle returned information are being developed and consultation with partners due to begin. Checklist expected to go live September 09.	T
34.9	Improving access to & support within other services for vulnerable people	Graham King Head of Performance, Commissioning & Change	30/04/10			Action on target. Project has been delayed and will now start September 09. A new Project Manager has been assigned to the project and the Project Initiation Document is to be developed. Ability to deliver to time to be reviewed once scope of project determined, to be considered in the light of the constraints of the delay to date and the need to complete by end March 2010.	T
34.10	Accommodation Solutions: opening of Silksworth extra care scheme	Graham King Head of Performance, Commissioning & Change	30/04/09		30/04/09	Action complete. Scheme opened.	C
34.11	Accommodation Solutions: opening of Washington extra care scheme	Graham King Head of Performance, Commissioning & Change	30/09/09	31/12/09		Action delayed. Target date changed to 31/12/09 Practical completion is now expected to be the end November 09 - slight delay caused by Housing21 need to appoint a new window manufacturer (original firm no longer trading). Work remains in progress.	D
34.12	Accommodation Solutions: opening of Hetton extra care scheme	Graham King Head of Performance, Commissioning & Change	31/03/10	30/06/10		Action delayed. Target date changed to 30/6/10 Due to pre planning conditions not being met and following complaints from local residents, contractors were off site for 8 weeks in April /May 09. Impact is that original planned completion date will not be met but will be delayed by that 8 weeks, practical completion is now expected for end May / June 2010. Work remains in progress on this.	D
34.13	Accommodation Solutions: develop commissioning framework	Graham King Head of Performance, Commissioning & Change	30/04/09			Action on target and moved. This is not being progressed as intention now is to deliver a Vulnerable Persons Strategy for the city (action 34.17 refers)	M T

Action No	Mitigating Actions	Risk Action Manager	Target			Progress Update September 2009	Status
			Original	Amended	Completed		
34.14	Strengthening joint work with Health (complex conditions)	Graham King Head of Performance, Commissioning & Change	30/09/09		30/09/09	Action complete. Joint Framework established and project closed. Post project review to be completed Jan 2010	C
34.15	Working with elected Members and Partners: develop Framework	Graham King Head of Performance, Commissioning & Change	30/09/09		30/09/09	Action complete. Framework developed.	C
34.16	Workforce Development: implement strategy and handover to operational management	Graham King Head of Performance, Commissioning & Change	30/04/09	30/04/10		Action delayed. Target date changed to 30/4/10 A lack of resources has caused delay. Although this has not been completely resolved, the intention is to have the tools and processes in place by end December 09 and the strategy ready to launch in April 2010.	D
34.17	Accommodation Solutions: develop a Vulnerable Persons Strategy for the city	Graham King Head of Performance, Commissioning & Change	31/03/10			New action. The Supporting Needs Analysis that provides the information into the overall strategy has been completed. Work is ongoing to develop the strategy by the expected date.	N



Risk Identification		Risk Status:	Open		
ID	Risk Description	Date Identified	Risk Owner		
35	Inability to find and implement an effective solution for the future management of the Port of Sunderland	05/03/2009	Janet Johnson, Deputy Chief Executive		
Causes					
Ongoing inability to identify and reach agreement with a suitable partner to manage/operate the Port (compounded by 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					
Impact Details					
If a suitable partner cannot be found, the Port may become unprofitable and therefore an unexpected/unbudgeted strain on the Council's financial resources.					
Current Controls					
Increased cargo 'volumes' handled and profit margins over last 2 years. Investment in new equipment/ facilities (i.e. new cranes and cargo shed). Long term contracts (covering next 5 – 10 years) have been secured (inc key contracts handling paper and pulp from Norway and Sweden). Port Board in place with Council Officers in attendance.					
Linked with Corporate Improvement Priorities (Yes/ No)					
CIP1 Prosperous City	Y	CIP4 Learning City	N	CIP7 One Council	N
CIP2 Healthy City	N	CIP5 Attractive and Inclusive City	N	CIP8 Efficient and Effective Council	N
CIP3 Safe City	N	CIP6 Customer Focused Services	N	CIP9 Improving Partnership Working	N
Risk Assessment	Risk Impact	Risk Likelihood	Risk Score*	Reason for Risk Movement	
Inherent Risk Scores March 2009	3.20	2.65	8.47		N/A
Residual Risk Scores March 2009	3.00	1.88	5.64	Controls put in place	↓

Risk: Inability to find and implement an effective solution for the future management of the Port of Sunderland						
Risk Mitigation						
Action No	Mitigating Actions	Risk Action Manager	Target		Progress Update September 2009	Status
			Original	Amended	Completed	
35.1	Decision to be made on whether external interest fits with our financial expectations	Janet Johnson, Deputy Chief Executive	30/09/09		25/06/09 Action complete. Decision made. No external bid/interest progressed and this was agreed at Cabinet June 09.	C
35.2	If financial expectations not met, decision to be made on how we progress down the municipal port model	Janet Johnson, Deputy Chief Executive	31/12/09		Action on target. Cabinet agreed Municipal Ports model June 09. On track for implementation by year end.	T
35.3	Review the new governance arrangements to determine whether they are effective and deliver the expected improvements and business objectives.	Janet Johnson, Deputy Chief Executive	31/03/11		New action	N