

**Strategic Risk Profile**

Key Risk Area	2019/20 Audits / Opinions		2021/22 Audits / Opinions		2022/23 Audits / Opinions		2023/24 Audits / Opinions		Overall Opinion
More and better jobs									
More and better housing					Housing Regulatory Framework/HRA	S			
More local people with better qualifications and skills to enable them to participate in and benefit from a stronger economy									
A stronger City Centre with more businesses, housing and cultural opportunities									
A lower carbon City with greater digital connectivity for all			Programme Governance Arrangements - Smarter Cities		Programme Governance Arrangements - Smarter Cities	S			
					Carbon Reduction Plan	S			
Access to the same opportunities and life chances			Taxi Licensing	M					
More people living healthier longer lives			Public Health Grant	S	Health Protection Board	S			
					Homelessness	M			
People enjoying independent lives			Adults Safeguarding - MASH	M	Adult Social Care Recovery Arrangements	S	Adult Social Care - Assessment and Support Arrangements	S	
			Financial Safeguarding - CPAT	S	Use of Assistive Technologies	M			
Cleaner and more attractive City and neighbourhoods	Environmental Services	M							
A City with great transport and travel links									
More creative and cultural businesses									
More residents participating in their communities									
More visitors visiting Sunderland and More residents participating in cultural events			Collections Management	M					
More people feel safe in their neighbourhoods and homes									
More resilient people									
Finance							From audits below		
Partnership Working	Partnership Arrangements				Partnership Arrangements	M			

**Corporate Risk Profile**

Key Risk Area	2019/20 Audits / Opinions		2021/22 Audits / Opinions		2022/23 Audits/Opinions				Overall Opinion
Strategic Planning					Partnership Arrangements	M			
Commissioning					Performance Monitoring within Public Health	S			
Service Delivery Arrangements	Licencing		Financial Safeguarding/CPAT Communications	S	Delivery of Council Restructure	S	Adult Social Care - Assessment and Support Arrangements	S	

	Development Control				Planning and Development Control	S	Protection of Vulnerable Adults Property	
	Environmental Services	M			Delivery of Port Business Plan		Delivery of Port Business Plan	
	Delivery of Council Restructure	S			Highways Work Programme	S		
	Liquid Logic - Adults	S						
Partnership /Integrated Working	Partnership Arrangements				Partnership Arrangements	M		
Procurement	Revenue Procurement	S	Procurement Strategy	S	Revenue Procurement		Revenue Procurement	S
	Capital Procurement	M	Purchasing Cards	M				
			Charging methodology - Highways	S				
			Use of agency framework	M				
Relationship/Contract Monitoring	Contract Monitoring SCAS	M					Contract Management Street Lighting PFI	
	Contract Monitoring - Siglion	S					Contract Management Sandhill Centre PFI	
							Housing Repairs and Maintenance SLA	
	Contract Monitoring - Sunderland Homes						Contract Management - Key Contracts	
Legality			Compliance with Operating Licence	M	Planning and Development Control	S	Protection of Vulnerable Adults Property	
					Compliance with the Operating Licence	M	Regulatory Services Compliance	
					Delivery of Environmental Services Action Plan	S		
					Compliance with the Operating Licence, Non Environmental Services	L		
Risk Management					External Funding	S		
					Highways Work Programme	S		
Corporate Performance Management	Performance Monitoring - City plan		Performance Monitoring - City Plan	S	Performance Management within Housing	S		
	Delivery of PEER Review Action Plan	S			Performance Management within Public Health	S		
Financial Management			BACS	S	Local Transport Capital Settlement - Highways Maintenance Needs	S	Local Transport Capital Settlement - Highways Maintenance Needs	S
			Budget Management	S	Local Transport Capital Settlement - Integrated Transport	S	Local Transport Capital Settlement - Integrated Transport	S
			Payroll	M	Local Transport Capital Settlement - Incentive Element	S	Local Transport Capital Settlement - Incentive Element	S
			Accounts Payable	S	Nexus	S	Nexus	S
			Local Transport Capital Settlement - Capital Maintenance	S	Pothole Action Fund	S	Pothole Action Fund	S
			Local Transport Integrated Transport	S	Sunderland A1290 Safety Improvement Scheme Phase 2	S	Holmeside Bus Rationalisation	
			Nexus	S	Disabled Facilities Grants	S	Disabled Facilities Grant	S
		S	Pothole Action Fund	S	Public Sector Decarbonisation	S	Installing Changing Places and Toilet Facilities	S
Treasury Management		S	Sunderland A1290 Safety Improvement Scheme Phase 1	S	Sustainable Mobility Hub		Sustainable Mobility Hub	
BACS		S	Disabled Facilities Grant	S	Riverside Sunderland Strategic Infrastructure Works		Riverside Sunderland Strategic Infrastructure Works	
Payroll			Disabled Facilities Grant - Additional Monies	S	Hillthorn Business Park Power Supply		Hillthorn Business Park Power Supply	S
Accounts Payable		M	Cycleways	S	Green Homes Grant LA Decarbonisation	S	Strategic Cycle Network	
EFA Funding		S	Vaux Phase 1		Vaux LGF		Sunderland Railway Station	
Local Transport Capital Settlement - Capital Maintenance		S	SSTC3 Design and Development		SSTC 3 Design and Development	S	Smarter Cities	
Local Transport Capital Settlement - Integrated Transport (Combined Authority)		S	Travel Demand Management	S	External Funding	S	Holmeside MSCP	
Nexus (Combined Authority)		S	Travel Demand Management - Top Up Monies	S	BACS	S	Family Hubs and Start for Life 31/6341	S

Pothole Action Fund	S	Home to School/College Transport - Second Half of Spring Term	S	Payroll		Family Hubs and Start for Life 31/6340	S
Local Transport Capital Settlement - Incentive Element	S	Home to School/College Transport - Summer Term	S	Accounts Payable		Family Hubs and Start for Life 31/6317	S
Better Care Fund - DFG	S	Home to School/College Transport - 2020/21 Academic Year	S	Benefits Overpayment and Recovery	S	Family Hubs and Start for Life 31/6536	S
Vaux Phase 1				The provision of project promotion and prevention of Better Mental Health Grant Funding	S	Family Hubs and Start for Life 31/6535	S
Northern Gateway	S			Additional Drug Treatment Crime and Harm Reduction Universal Component Grant Funding	S	Family Hubs and Start for Life 31/6545	S
				Test and Trace Support Payment Scheme Funding Grant Determination 31/5309	S	Vaux LGF	S
				Test and Trace Support Payment Scheme Funding Grant Determination 31/5435	S	IAMP	S
				Test and Trace Support Payment Scheme Funding Grant Determination 31/5668	S	Holiday Activity Fund	S
				Test and Trace Support Payment Scheme Funding Grant Determination 31/5704	S	Multiply Grant	S
Local Transport Capital - Highway Maintenance	S			Test and Trace Support Payment Scheme Funding Grant Determination 31/5385	S	Public Health Agreements/Environmental Health	M
Liquid Logic including business processes	S			Test and Trace Support Payment Scheme Funding Grant Determination 31/5789	S	Compliance with Homes England Funding	S
				Test and Trace Support Payment Scheme Funding Grant Determination 31/6187	S	Vulnerable Groups Funding Arrangements	
				Test and Trace Support Payment Scheme Funding Grant Determination 31/6215	S	Payroll	
				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5075	S	BACS	S
				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5219	S	Accounts Payable	S
				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5244	S	Turnaround Grant Funding	S
				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5304	S	Safer Roads A1290	S
				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5341	S	Family Hubs and Start for Life 31/6692	S
				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5411	S	Family Hubs and Start for Life 31/6993	S
				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5183	S		

				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5456	S		
	Pothole Action Fund - Additional Monies	S		Test and Trace Contain Outbreak Management Fund Surge Funding 31/5518	S		
				Adult Weight Management Services Grant 31/5440	S		
				Biodiversity Net Gain Grant 31/6499	S		
				LEVI Fund 31/6506	S		
Income Collection (including CR/NNDR)	Cash Receipting, compliance	S	Business Rates Recovery	S	Income Collection	S	Adult Social Care Income Arrangements
	Council Tax Setting and Billing	S	Council Tax Recovery	S	Accounts Receivable		Income Collection S
	Accounts Receivable - Recovery	S	Accounts Receivable Recovery and PI	M	Land Charges	S	Accounts Receivable S
	Council Tax Liability	S	Housing Rent Collection	M			
	Business Rates setting and billing	S	Income Collection	S			
	Business Rates Liability	S					
Capital Programme Management	Project Management Benefits Realisation, including capital funding	M					
HR Management	HR - SAP Optimisation		Recruitment and Selection	S	Human Resource Case Management	L	Human Resource Management
	Port - Effectiveness of Restructure						Compliance with pay and grading model
	Communications re organisational change	S					
Health and Safety				Port Health and Safety	S		
ICT Infrastructure			ICT Disaster Recover / Business Continuity	S			
	ICT Asset management	M					
Cyber Security	Cyber Security	M	Cyber Security	M	Cyber Security	M	Cyber Security
	Mobile Device Management	S			Information Security	S	Information Security
Information Governance/Security	GDPR	M	GDPR	M	GDPR	S	Compliance with Caldicott Requirements
					Information Security	S	Information Security
					Archived Records Management	M	
Business Continuity Management	Update of Directorate plans re new structures	M	Corporate Business Continuity Arrangements	S	Use of Assistive Technologies	M	Resilience to Port Service Business Commitments
					Resilience of Port Management Structure		
Programme/Project Management	Project Management Benefits Realisation, including capital funding	M	Programme Governance Arrangements - Smarter Cities		Programme Governance Arrangements - Smarter Cities	S	Regeneration Programme Management Arrangements
Asset Management			Housing Asset Management	M	Corporate Asset Management Strategy and Compliance		Corporate Asset Management Strategy S
			Collections Management	M			
Anti Fraud and Corruption	Payroll compliance Testing		BACS	S	BACS	S	Protection of Vulnerable Adults Property
	BACS compliance testing	S	Purchasing Cards	M	Income Collection	S	BACS S
	Cash Receipting	S	Income Collection	S	Accounts Receivable		Income Collection S
	AR Recovery	S	Accounts Receivable Recovery and PI	M	Accounts Payable		Accounts Receivable S
	ICT Asset Management	M	Accounts Payable	S	Land Charges	S	Accounts Payable S
	Council Tax Setting and Billing	S	Business Rates Recovery	S	Benefits Overpayment and Recovery	S	Payroll
	Council Tax Liability	S	Council Tax Recovery	S	Revenue Procurement		Revenue Procurement S

	Accounts Payable	M	Housing Rent Collection	M	Payroll		Adult Social Care Income Arrangements		
							Vulnerable Groups Funding Arrangements		
Schools	23 schools in the plan. 21 complete to date. 17 Substantial, 4 Moderate	S	20 schools in the plan, 20 complete to date. 18 substantial, 1 Moderate, 1 Limited	S	19 schools in the plan, 19 complete to date. 12 substantial, 5 moderate, 2 limited	S	13 Schools in the plan, 8 complete to date. 7 substantial, 1 moderate	S	
Sunderland Care and Support	Risk and Assurance Framework		Compliance with Financial Procedures in establishments	S	Compliance with Financial Procedures in Establishments	S	Compliance with Financial Procedures in Establishments		
	DPO Checks	S	ICT Security within establishments	S	Business Continuity Arrangements	M	Assistive Technologies		
	Unit Costing		DPO Checks	S	DPO Checks	S	DPO Checks		
	Compliance with financial procedures in establishments	S	Workforce planning, resilience and wellbeing		Workforce planning, resilience and wellbeing		Workforce Planning	S	
	Business Continuity (Telecare)	L			Transport Arrangements	S	Staff Wellbeing		
	Recruitment and DBS Checks	S					Relationship Management		
Together for Children	Troubled Families Grant Claim	S	Troubled Families Grant Claim	S	Troubled Families Grant Claim	S	Health and Safety Arrangements		
	Schools Financial Support Service	S	Staff Wellbeing		Business Continuity Planning	M	Cyber Security	M	
	Performance Management - Data Quality	S	Next Steps		Holiday and Activity Fund	L	Holiday Activity Fund		
	Purchase cards	M	Nook Lodge - Compliance with Financial Procedures in Establishments	S	Interrupted Educational Pathways		Interrupted Educational Pathways		
	Achievement of cost savings		Procurement of Independent Providers - Residential	M	National Assessment and Accreditation System Grant Claim	S	Strategic Programme Management	S	
	Legal services		Counter Fraud	M	GDPR	S	Claremont House		
	Designated Officer	S	National Assessment and Accreditation System Grant Claim	S	Staff Wellbeing	S			
	Liquid logic	M							
Siglion	Governance Arrangements	M	Financial Management	S	GDPR	L	Risk Management Arrangements		
			Contract/relationship management	M	Risk Management Arrangements		Project Management Arrangements		
			Disposal of property	M	Project Management Arrangements				
			Performance management	S					

