STRATEGIC RISK PROFILE Appendix 2

Risk Impact	Risk Likelihood	-	4				
1 = Minor	1 = Unlikely	hood	3				Т
2 = Moderate	2 = Possible	ikelih	2				
3 = Significant	3 = Likely	≛	1		_		
4 = Critical	4 = Almost Certain		N-	1 egativ	/e Im	3 pact	4

																		Assura	nce				
			Original Sco			arget Sco					С	urrent Sco	re			1st Line			2nd Line			3rd L	ine
Risk Co	ode Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overa	II MGT	Legal	Financial Proje	cts Performance	ICT HR&OD	BCM Ris	k Internal Audit E	External Audit
R001	Councils contribution to the 3,6,9 Vision fails to deliver the required outcomes	4	3		4	2		Develop and implement a process to monitor and review progress of the 3, 6, 9 Vision delivery plan. Key milestones are reflected in the Corporate Plan and monitored through project governance and performance management arrangements Consultants appointed to develop Sunderland City Centre Strategy and Investment Plan. This will combine with the Local Industry Strategy to provide a 15-20 year vision, replacing the 3,6,9 plan		31-Mar-19		2		Growing the Economy									

																		Assu	ırance						
			Original Score			arget Sco		1			С	Current Sco	re			1st Line				2nd Line				3rd I	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overal	I MGT	Legal F	inancial Pr	rojects	Performance	ICT HR8	&OD BCM	Risk	Internal Audit	External Audit
R002	The creation of a new North of Tyne							Officer and Members to be fully aligned	Patrick Melia	31-Dec-18				Growing the Economy											
	Combined Authority, could adversely							with regional opportunities and work							_								_		
	impact on Sunderland's future economic							proactively to develop the region whilst																	
	growth and connectivity prospects.							protecting the interests of Sunderland																	
								Continue to be an active member of		31-Mar-19															
								NECA and contribute to the regional																	
		4	4		4	2		approach to transport			3	2													

																		Ass	surance					
			Original Scor			Target Scor		1			C	Current Sco	re			1st Line				2nd Line			3rd	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overal	MGT	Legal	inancial	Projects	Performance	ICT HR&OI	BCM Risi	Internal Audit	External Audit
R003	Local workforce does not have the							Facilitate collaborative working between	Sarah Reed	31-Mar-19				Growing the Economy										
	required skills to take advantage of the							employers, education/skills providers and															'	
	growing North East economy.							students																
								Inform and influence education/skills	T	31-Mar-19	1													
								providers regarding the priorities for																
								employers																
								Identifying the knowledge and skills	T	31-Mar-19	ī													
								required by employers																
								Skills Strategy to form part of the Local	T	31-Mar-19	ī													
								Industry Strategy with a heavy digital																
		4	4		4	3		bias			4	4												

																		AS	surance					
			Original Sco			arget Scor					С	Current Sco	re			1st Line				2nd Line				Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overa	II MGT	Legal	Financial	Projects	Performance	ICT HR&OI	BCM Ris	k Internal Audit	External Audit
R004	The Local Plan produced by the Council							Undertake the appropriate research,	Peter McIntyre	21-Dec-18	В			Growing the Economy										
	is not accepted by the Planning							analysis and consultation to provide the							~							_	*	
	Inspectorate							evidence base to the Planning																
								Inspectorate to show that our Plan is																
								sound. Key milestones are reflected in																
								the Corporate Plan and monitored																
								through PM arrangements																
								Local Plan agreed by Cabinet in	Ī	31-Dec-18	В													
		3	3		3	1		November 2018			3	3												

																		AS	Surance					
			Original Sco			Target Sc					C	Current Sco	re			1st Line				2nd Line				3rd Line
Risk Co	de Strategic Risk Description	Impact	Likelihoo	d Ratin	g Impact	Likelhoo	od Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overa	I MGT	Legal	Financial	Projects	Performance	ICT HR&O	D BCM R	isk Internal Au	dit External Audit
R005	Unable to attract commercial / manufacturing interest to our development sites	4	3		4	2		Monitor and review the actions being undertaken to incentivise / support industries to prosper in the city to achieve targets and outcomes. IAMP project and Vaux project (Siglion) have robust project governance arrangements	Peter McIntyre	31-Dec-18	4	2		Growing the Economy										

Original Score Target Score 1et Line 2ed Line 2e				Assurance	
Original score Target score	Original Score Target Score	Score Current Score	1st Line	2nd Line	3rd Line

Risk Code	Strategic Risk Description	Impact	Likelihood	d Ratir	ng Impa	act Like	elhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overa	II MGT	Legal	Financial	Projects	Performance	ICT HR	ROD B	CM Risk	Internal Audit	External Audit
R006	Failure to provide appropriate conditions								Developing the appropriate infrastructure	Peter McIntyre	01-Mar-19				Growing the Economy											
	to support viable / sustainable investment																				•			_		
	opportunities in the City, including								Obtaining external funding to develop	Ī	01-Mar-19															
	effective marketing.								infrastructure																	
									Effective marketing to encouraging a	Ī	01-Mar-19															
		4	3		4		2		diverse range of investors			4	2													

																		Assurar	nce					
		0	Original Score	е	Tar	rget Score					C	Current Sco	re			1st Line			2nd	Line			3rd	d Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating In	mpact L	ikelhood F	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overall	MGT	Legal	Financial Proje	cts Perforr	mance	ICT HR&OD I	BCM Ris	Internal Audit	External Audit
	Failure to attract investment to support regeneration of the City Centre					4			Peter McIntyre	31-Dec-19				Growing the Economy	>				Ø			~		
		4	3		4	2		Bid submitted for balance of Station funding. Funding team horizon scanning and preparing funding bids. Consultants appointed to develop Sunderland City Centre Strategy and Investment Plan New Civic Centre to be developed on Vaux site		31-Dec-19 31-Dec-19 31-Mar-19	9	2												

								_										Assurance					
			Original Score			arget Score					С	urrent Sco	re			1st Line			2nd Line			3rd I	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overall	MGT	Legal Finan	ial Projects	Performance	ICT HR&OD B	CM Risk	Internal Audit	External Audit
	Failure to realise the economic regeneration / benefits, arising from the investment in the SSTC programme.	3	3		3	2		Engage with landowners and key stakeholders to support development of targeted sites. SSTC2 Northern Spire now open. SSTC 3 Construction to start May 19, due to be completed July 21. SSTC 4 business case in development.	Les Clark	31-Mar-19	3	2		Growing the Economy	>				>		>		

								_										As	ssurance						
			Original Sco			Target Sco					Cı	urrent Scor	re			1st Line				2nd Line				3rc	d Line
Risk Coo	de Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhoo	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overal	MGT	Legal	Financial	Projects	Performance	ICT H	R&OD BO	CM Risk	Internal Audit	External Audit
R009	Housing developers are not attracted to							Incentivise developers and put in place	Peter McIntyre	31-Dec-19				Promoting Better Living and Working											
	Sunderland							enabling infrastructure.																	
								Programme activity so that developers		31-Mar-19															
								are ready to submit planning applications	;																
								as soon as the Local Plan is adopted.																	
		3	3		3	2		Siglion housing sites in progress.		31-Mar-19	3	2													

																		Assurance	•				
			riginal Scor			arget Score					С	urrent Sco	re			1st Line			2nd Line			3rd	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overa	II MGT	Legal	Financial Projects	Performance	ICT HR&OD	BCM Risk	Internal Audit	External Audit
R010	Opportunities are not taken to regenerate the coast in a timely manner or development is restricted by lack of resources	3	2		3	1	Ø	Seaburn phase 1 to deliver apartments and commercial space	Peter McIntyre	31-Dec-19	3	4		Promoting Better Living and Working	②								

															,	Assurance				
	Original	Score		Target Sco	re				C	Current Scor	9		1	1st Line			2nd Line		3rc	Line
Risk Code Strategic Risk Description In	mpact Likelih	lood Raf	ting Impa	ct Likelhood	d Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area Ov	erall I	MGT	Legal Financia	I Projects	Performance	ICT HR&OD BCM Ris	k Internal Audit	External Audit
R011 City's cultural offer does not contribute to the city being an attractive and vibrant place to invest, work, learn, live and visit	3 2		3	1		Culture Company supports cul;ture programme and key cultural events such as elements of the Tall ships	Fiona Brown	31-Mar-19	3	1		Maximising the Cultural Offer								

								_										Assuranc	е				
			riginal Scor			Target Sco]			С	Current Sco	re			1st Line			2nd Line			3rd	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overal	II MGT	Legal	Financial Project	s Performance	ICT HF	&OD BCM Risk	Internal Audit	External Audit
R013	The Council is not able to fulfil its							Review of the contract monitoring	Fiona Brown	31-Mar-19				Improving Education & Skills									
	statutory responsibility and/or achieve							arrangements and the operation of the															
	desired outcomes for Children and young							Operational Commisssioning Group.															
	people							Review of Together for Children	T	31-Mar-19													
								governance arrangements.															
		4	4		3	2		Base budget review.		31-Mar-19	3	3											

																		AS	ssurance					
			original Sco			Target Scor					C	Current Sco	re			1st Line				2nd Line			3rd	d Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overal	MGT	Legal	Financial	Projects	Performance	ICT HR&OD	BCM Ris	Internal Audit	External Audit
R014	The health of the population does not							Develop the Joint Health & Wellbeing	Gillian Gibson	31-Mar-19				Improving Health & Wellbeing	\triangle									
	improve							Strategy with an action plan, to address															•	
								the major issues identified in the Joint																
								Strategic Needs Assessment.																
								Public Health function to effectively	Ī	31-Mar-19	ī													
								address major issues including alcohol,																
								smoking and obesity, guided by the																
								developing Public Health Strategy																
								The Council to incorporate an approach	1	31-Mar-19	1													
		4	3		4	2		to health in all its policies			4	3												

																		Assurance	:		
			original Sco		Т	Target Score	е]			C	Current Sco	re			1st Line			2nd Line		3rd Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overall	MGT	Legal Fin	ancial Projects	Performance	ICT HR&OD BCM Risk	Internal Audit External Audit
R015	Safeguarding practice does not substantially improve to make children							Deliver the improvement plan that has been agreed with Ofsted	Jill Colbert	30-Sep-18				Protecting Vulnerable Children							
	safer.	4	4		4	2		Embed a culture of good performance and quality		30-Sep-18	4	3									

																	Assu	urance				
			original Sco			Target Sco					C	Current Sco	re			1st Line		:	2nd Line			3rd Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overall	MGT	Legal Financial P	rojects Per	erformance	ICT HR&OD	BCM Risk Int	ernal Audit External Audit
R016	Timely interventions are not undertaken to deliver early help/support to vulnerable children	4	4		4	2		Children and families in need of help are identified and multi-agency services act together to improve outcomes		30-Sep-18	4	3		Protecting Vulnerable Children	•							•

																		Assurance	9				
			Original Sco			Target Sc]			C	Current Sco	re			1st Line			2nd Line			3rd Lir	ine
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhoo	d Ratino	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overa	II MGT	Legal	Financial Projects	Performance	ICT HR&C	D BCM Risk	Internal Audit Ex	xternal Audit
R017	Timely and sustainable solutions are not implemented for looked after children to improve the life chances for the most vulnerable children in the city							Looked-after children have access to high quality care planning, review and support. They are supported in stable care placements and have access to and	Jill Colbert	30-Sep-18				Protecting Vulnerable Children	•								7
		4	4		4	2		attend good schools			4	3											

																		A:	ssurance					
		0	riginal Scor	e	Ta	arget Score					Cı	urrent Sco	re			1st Line				2nd Line				3rd Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Over	all MGT	Legal	Financial	Projects	Performance	ICT HR&C	D BCM	Risk Internal	Audit External Audit
R018	Inability to change the structures (ie								Jill Colbert	31-Mar-19				Protecting Vulnerable Children									\triangle	\wedge
	workforce, technology, processes,							Improvement Plan and act on any areas							_							Y	_	
	customer engagement), service capacity,							for improvement identified during each																
	and culture of the company to deliver the							Ofsted monitoring visit.																
	improved outcomes to vulnerable							Delivery and close scrutiny of Business	T	31-Mar-19	j													
	children.							Plan for Company.																
								Implementation of recruitment & retention	I	31-Mar-19	j													
								strategy.																
								Directors to manage budgets with	T	31-Mar-19	ī													
								appropriate support from Finance. This																
								includes monthly meetings with Budget																
								Holders and formal reporting																
								arrangements to TfC Board, OCG and																
								the Council.																
								A Base Budget review exercise will be	T	31-Mar-19														
		3	3		3	2		completed to inform options available			3	3												

																		As	surance					
			riginal Scor			Target Sco					(Current Sco	re			1st Line				2nd Line			3rd	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overal	MGT	Legal	Financial	Projects	Performance	ICT HR&OD	BCM Risk	Internal Audit	External Audit
R019	Activity to improve the care options for							Liquid Logic social care system is now	Fiona Brown	31-Mar-19	9			Protecting Vulnerable Adults										
	adults does not meet the needs of							live. Phase 2 is to deliver															_	
	individuals or result in reduced costs to							customer/citizen portal.																
	the Council							Joint work with NHS regarding continuing	Ī	31-Mar-19	9													
								healthcare.																
		3	2		3	1		Review of telecare service provision.	Ī	31-Mar-19	3	2												

						Assurance	
		Original Score Target Score		Current Score	1st Line	2nd Line	3rd Line
Risk Code	Strategic Risk Description	Impact Likelihood Rating Impact Likelhood Rating Mitigating Actions	Action Lead Due Date I	mpact Likliihood Rating	Strategic Risk Area Overall MGT	Legal Financial Projects Performance ICT HR&C	DD BCM Risk Internal Audit External Audit

R020	Agitators use national issues / incidents	Support Partners to improve community Sarah Reed 31-Mar-19	Building Resilient Communities
	to heighten tensions in local communities	safety and maintain high levels of	
	in Sunderland 4 2 4 1	feelings of safety for all	

																		A	ssurance					
			Original Scor			arget Scor		1			C	urrent Sco	е			1st Line	•			2nd Line			3rd	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelhood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likliihood	Rating	Strategic Risk Area	Overal	I MGT	Legal	Financial	Projects	Performance	ICT HR&OD	BCM Risk	Internal Audit	External Audit
R022	"Opportunities are not taken to enable							Digital inclusion (DI): provides greater	Graham King	31-Mar-19	9			Building Resilient Communities	\triangle							\triangle		
	individuals to mitigate the impact of							customer choice, increased opportunities														_		
	welfare reforms							and social inclusion.																
								Financial inclusion (FI): enables better	Ī	31-Mar-19	9													
								money management, planning for the																
								future and coping more effectively with																
								financial pressures and distress.																
								Crisis Support (CS): helps residents	Ī	31-Mar-19	9													
								respond more effectively to changes in																
								their financial circumstances, or																
		4	3		4	2		unforeseen financial emergencies.			3	3												