STRATEGIC RISK PROFILE

Risk Impact	Risk Likelihood	_	4				
1 = Minor	1 = Unlikely	poo	3				
2 = Moderate	2 = Possible	ikelihoo	2				
3 = Significant	3 = Likely	Ě	1				
4 = Critical	4 = Almost Certain	_		1	2	3	4
			N	egati	ve Im	pact	

																		Assurance				
			riginal Scor		Т	arget Scor	е	1			(Current Sco	re			1st Line	Э		2nd Line		3rd Line	
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overa	II MGT	Legal	Financial Projects	Performance	ICT HR&OD BCM Risk	Internal Audit Externa	al Audit
	Council's contribution to the 3,6,9 Vision fails to deliver the required outcomes	4	3	•	4	2			Peter McIntyre		0	2		Growing the Economy								

																		Assurance					
			Driginal Sco			Target Sco					(Current Sco	e			1st Line			2nd Line			3r	d Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihoo	dRating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overal	I MGT	Legal Financi	al Projects	Performance	ICT H	R&OD BCM Ris	k Internal Audi	t External Audit
	The creation of a new North of Tyne Combined Authority, could adversely impact on Sunderland's future economic growth and connectivity prospects.							Officer and Members to be fully aligned with regional opportunities and work proactively to develop the region whilst protecting the interests of Sunderland	Patrick Melia	31-Mar-20				Growing the Economy									
		4	4		4	2		Continue to be an active member of NECA and contribute to the regional approach to transport		31-Mar-20	3	2											

													- 1					As	ssurance					
			Driginal Scor			arget Score					C	Current Score	Э			1st Line	•			2nd Line			3rc	d Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Ove	all MGT	Legal	Financial	Projects	Performance	ICT HR&OD	BCM Risk	Internal Audit	External Audit
R003	Local workforce does not have the							Facilitate collaborative working between	Sarah Reed	31-Mar-20				Growing the Economy										
	required skills to take advantage of the					ſ		employers, education/skills providers		1														
	growing North East economy.							and students																
1								Inform and influence education/skills		31-Mar-20														
								providers regarding the priorities for		1														
								employers																
								Identifying the knowledge and skills	1	31-Mar-20														
								required by employers																
								Skills Strategy to form part of the Local	1	31-Mar-20														
			1					Industry Strategy with a heavy digital																
		4	4		4	3		bias			4	4												

																		A	ssurance					
			riginal Sco			arget Score					0	Current Sco	е			1st Line				2nd Line				3rd Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating In	npact I	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overall	MGT	Legal	Financial	Projects	Performance	ICT HR&	OD BCM I	Risk Internal A	udit External Audit
	The Local Plan produced by the Council is not accepted by the Planning Inspectorate	3	3		3	1		Undertake the appropriate research, analysis and consultation to provide the 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 to be agreed by Cabinet in December 2018	Peter McIntyre	31-Mar-20 31-Mar-20		3		Growing the Economy										

Appendix 2

																		Assurance	9				
			riginal Sco			Target Sco		1			C	Current Sco	re			1st Line			2nd Line			3rc	d Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overall	MGT	Legal	Financial Project	s Performance	ICT HR	&OD BCM Risk	Internal Audit	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-Mar-20	4	2		Growing the Economy	0								

																		Assurance					
			riginal Sco			Target Sco					C	Current Score				1st Line			2nd Line			3rd	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood I	Rating	Strategic Risk Area	Overall	MGT	Legal	Financial Projects	Performance	ICT HR&OD	BCM Risk	Internal Audit	External Audit
	Failure to provide appropriate conditions to support viable / sustainable investment opportunities in the City, including effective marketing.	4	3	•	4	2		Developing the appropriate infrastructure Obtaining external funding to develop infrastructure Effective marketing to encouraging a diverse range of investors	Peter McIntyre	31-Mar-20 31-Mar-20 31-Mar-20		2		Growing the Economy	0				0		٢		

																	Assurance	1				
			original Sco			Farget Scol		1			Current S	core			1st Line			2nd Line			31	rd Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact Likelihoo	d Rating	Strategic Risk Area	Overall	MGT	Legal F	inancial Projects	Performance	ICT HR&OI	D BCM Ris	sk Internal Audi	t External Audit
R007	Failure to attract investment to support regeneration of the City Centre		2			2		Masterplanning underway in further areas (Holmeside, Minster Quarter, Sheepfolds, Sunniside). Continue to engage and consult with developers and other stakeholders at the pre-app stage to streamline the process. 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	Peter McIntyre				Growing the Economy									
		4	3		4	2		Vaux site			4 2											

																		Assurance					
			riginal Sco			Target Scor		l			C	Current Sco	re			1st Line			2nd Line			3rd I	Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overa	II MGT	Legal	Financial Projects	Performance	ICT HR&OD BCM	M Risk Ir	ternal 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 due to be completed July 21. SSTC 4 business case in development and a re-design of SSTC 5 is being considered.		31-Mar-20	3	2		Growing the Economy					0				

Image: Note that the state in the state																			As	surance					
R009 Housing developers are not attracted to Sunderland Incentivise developers and put in place enabling infrastructure. Programme activity so that developers are ready to submit planning applications Peter McIntyre 31-Dec-19 31-Mar-20												С	urrent Scor	e			1st Line				2nd Line			3rc	d Line
Sunderland enabling infrastructure. Programme activity so that developers are ready to submit planning applications	Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overall	MGT	Legal	Financial	Projects	Performance	ICT HR&O	D BCM Risk	Internal Audit	External Audit
3 3 3 2 Siglion housing sites in progress. 31-Mar-20 3 2		0 1		2		2			enabling infrastructure. Programme activity so that developers are ready to submit planning applications as soon as the Local Plan is adopted.		31-Mar-20		2		Promoting Better Living and Working										

																		Assuran	ce				
		C	Driginal Sco	re	Г	Farget Score		1			(Current Sc	ore			1st Line			2nd Line			3r	d Line
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R010	Opportunities are not taken to regenerate the coast in a timely manner or development is restricted by lack of resources		2		3	1		Seaburn phase 1 to deliver apartments and commercial space	Peter McIntyre	31-Dec-19	3	4		Promoting Better Living and Working	0						4	2	

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			riginal Sco			arget Score					C	Current Sco	re			1st Line	Э		2nd Line			3rd Line
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R011	City's cultural offer does not contribute to					(Culture Company supports cul;ture	Fiona Brown	31-Mar-19				Maximising the Cultural Offer								
	the city being an attractive and vibrant						-	programme and key cultural events such									1 1					
	place to invest, work, learn, live and visit							as elements of the Tall ships									1 1					
		3	2	1 1	3	1				1	3	1	1			1						

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			riginal Sco			Farget Sco		1			C	Current Score	;			1st Line			2nd Line			3rc	d Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overall	I MGT	Legal Fir	ancial Projects	Performanc	e ICT H	R&OD BCM Risk	Internal Audit	External Audit
R013	The Council is not able to fulfil its statutory responsibility and/or achieve desired outcomes for Children and young people						_	Review of the contract monitoring arrangements and the operation of the Operational Commisssioning Group.	Fiona Brown	31-Mar-19	9			Improving Education & Skills	0				0				
		4	4		3	2		Review of Together for Children governance arrangements. Base budget review.		31-Mar-19 31-Mar-19		3											

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			riginal Scor			arget Sco		1			C	Current Score	9			1st Line				2nd Line				3rd L	_ine
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overa	I MGT	Legal F	nancial Pro	ojects P	erformance I	CT HR&	OD BCM F	Risk Interi	nal Audit	External Audit
R014	The health of the population does not improve							Develop the Joint Health & Wellbeing Strategy with an action plan, to address the major issues identified in the Joint Strategic Needs Assessment. Public Health function to effectively address major issues including alcohol, smoking and obesity, guided by the developing Public Health Strategy	Gillian Gibson	31-Mar-20				Improving Health & Wellbeing								4			
		4	3		4	2		The Council to incorporate an approach to health in all its policies		31-Mar-20	4	3													

																		Assurance	;			
		C	riginal Scor	re		Farget Score	Э	1			(Current Sco	re			1st Line			2nd Line			3rd Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overall	MGT	Legal	Financial Projects	B Performance	ICT HR&OD	D BCM Risk In	nternal Audit External Audit
R015	Safeguarding practice does not							Deliver the improvement plan that has	Jill Colbert	30-Sep-18	3			Protecting Vulnerable Children								
	substantially improve to make children						<u> </u>	been agreed with Ofsted														· · · · ·
	safer.							Embed a culture of good performance		30-Sep-18	3											
		4	4		4	2		and quality		1	4	3										

																		Assurance	•		
			Driginal Sco			Farget Sco		1			0	Current Sco	е			1st Line	•		2nd Line		3rd Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihoo	d Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overall	MGT	Legal	Financial Projects	Performance	ICT HR&OD BCM Risk	Internal 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	•						-

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			Driginal Sco			Farget Sco		1			C	Current Sco	re			1st Line			2nd Line			3rd	Line
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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		4		4	2	-	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 attend good schools	Jill Colbert	30-Sep-18	4	3		Protecting Vulnerable Children	•								<u> </u>

																		As	ssurance					
			Driginal Sco			arget Scor		1				Current Sco	re			1st Lin	e			2nd Line			3r	d Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	t Likelihood	Rating	Strategic Risk Area	Overa	II MGT	Legal	Financial	Projects	Performance	ICT HR&O	D BCM Ris	k Internal Audit	External Audit
	Inability to change the structures (ie workforce, technology, processes, customer engagement), service capacity, and culture of the company to deliver the improved outcomes to vulnerable children.	3	3		3	2		Delivery and close scrutiny of Improvement Plan and act on any areas for improvement identified during each Ofsted monitoring visit. Delivery and close scrutiny of Business Plan for Company. Implementation of recruitment & retention strategy. Directors to manage budgets with 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 completed to inform options available	Jill Colbert	31-Mar-1 31-Mar-1 31-Mar-1 31-Mar-1 31-Mar-1	9	3		Protecting Vulnerable Children	•									

																	Assura	ance			
			Driginal Sco			Farget Scor		1			(Current Sco	re			1st Line		2nd Line		3rd Lin	ne
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	Activity to improve the care options for adults does not meet the needs of individuals or result in reduced costs to						0	Liquid Logic social care system is now live. Phase 2 is to deliver customer/citizen portal.	Fiona Brown	30-Sep-1	9		0	Protecting Vulnerable Adults	<u> </u>					•	
	the Council							Joint work with NHS regarding continuing healthcare.	1	30-Sep-1	9										
		3	2		3	1		Review of telecare service provision.	1	30-Sep-1	9 3	1									

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			riginal Score			arget Score					Cu	irrent Scoi	е		1st L	ne	2nd Line		3rd Lin	ie
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact L	ikelihood	Rating	Strategic Risk Area	Overall MGT	Legal Financial Project	s Performance I	CT HR&OD BCM Risk	Internal Audit Ex	ternal Audit
R020	Agitators use national issues / incidents to heighten tensions in local communities in Sunderland	4	2		4	1	0	Support Partners to improve community safety and maintain high levels of feelings of safety for all	Sarah Reed	31-Mar-20	4	1	0	Building Resilient Communities						

																		Assur	rance					
			Driginal Sco			arget Sco		1			(Current Sco	ore			1st Line				2nd Line			3r	d Line
Risk Code	Strategic Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Action Lead	Due Date	Impact	Likelihood	Rating	Strategic Risk Area	Overal	I MGT	Legal	Financial Pro	ojects F	Performance IC	T HR&OD	BCM Ris	k Internal Audit	t External Audit
	Opportunities are not taken to enable individuals to mitigate the impact of welfare reforms							Digital inclusion (DI): provides greater customer choice, increased opportunities and social inclusion. Financial inclusion (FI): enables better money management, planning for the future and coping more effectively with financial pressures and distress.	Graham King	30-Sep-1 30-Sep-1				Building Resilient Communities										
		4	3		4	2		Crisis Support (CS): helps residents respond more effectively to changes in their financial circumstances, or unforeseen financial emergencies.		30-Sep-1	9 3	1												