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			Programme Governance Arrangements -		Programme Governance Arrangements -	S		
for all			Smarter Cities		Smarter Cities			
					Carbon Reduction Plan	S		
Access to the same								
opportunities and life chances			Taxi Licensing	М				
More people living healthier		-						
longer lives			Public Health Grant	S	Health Protection Board	S		
		-						
					Homelessness	М		
People enjoying							Adult Social Care - Assessment and Support	
independent lives			Adults Safeguarding - MASH	М	Adult Social Care Recovery Arrangements	S	Arrangements	
			Financial Safeguarding - CPAT	S	Use of Assistive Technologies	М		
Cleaner and more attractive	Environmental Services	М						
City and neighbourhoods								
A City with great transport and travel links								
		-						
More creative and cultural businesses								
More residents participating								
in their communities								
More visitors visiting	<u> </u>							
Sunderland and More								
residents participating in			Collections Management	М				
cultural events								
More people feel safe in								
their neighbourhoods and								
homes								
More resilient people								
Finance							From audits below	
Partnership Working	Partnership Arrangements				Partnership Arrangements	М		

## Corporate Risk Profile

Key Risk Area	2019/20 Audits / Opinions	2021/22 Audits / Opinions	2022/23 Audits/Opinions			Overall Opinion
Strategic Planning			Partnership Arrangements	М		

## Appendix 4

Commissioning					Performance Monitoring within Public	s	
5					Health	3	
Service Delivery Arrangements	Licencing		Financial Safeguarding/CPAT Communications	S	Delivery of Council Restructure	S	Adult Social Care - Assessment and Support Arrangements
	Development Control				Planning and Development Control	S	Protection of Vulnerable Adults Property
	Environmental Services	М			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 Vorking	Partnership Arrangements				Partnership Arrangements	М	
Procurement	Revenue Procurement		Procurement Strategy	S	Revenue Procurement		Revenue Procurement S
	Capital Procurement	М	Purchasing Cards	М			
			Charging methodology - Highways	S			
			Use of agency framework	М			
Relationship/Contract Ionitoring	Contract Monitoring SCAS	М					Contract Management Street Lighting PFI
	Contract Monitoring - Siglion	S			1		Contract Management Sandhill Centre PFI
					1		Housing Repairs and Maintenance SLA
	Contract Monitoring - Sunderland Homes						Contract Management - Key Contracts
Legality			Compliance with Operating Licence	М	Planning and Development Control		Protection of Vulnerable Adults Property
				ļ	Compliance with the Operating Licence	М	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 /anagement	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 Maintentance Needs	S	Local Transport Capital Settlement - Highways Maintenance Needs
			Budget Management	S	Local Transport Capital Settlement - Integrated Transport	S	Local Transport Capital Settlement - Integrated Transport
			Payroll	М	Local Transport Capital Settlement - Incentive Element	s	Local Transport Capital Settlement - Incentive Element
			Accounts Payable	S	Nexus	s	Nexus
			Local Transport Capital Settlement - Capital Maintenance		Pothole Action Fund	S	Pothole Action Fund
			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	Pothole Action Fund		Public Sector Decarbonisation	s	Installing Changing Places and Toilet Faciltiies
			Sunderland A1290 Safety Improvement				
	Treasury Management	S	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	М	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	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 Compnent 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	
				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	
Liquid Logic including business processes	S			Test and Trace Support Payment Scheme Funding Grant Determination 31/5789	S	Compliance with Homes England Funding	
				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	
				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	
				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5341	S		

1				1			
					Test and Trace Contain Outbreak Management Fund Surge Funding 31/5411	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		Council Tax Recovery	S	Accounts Receivable		Income Collection S
	Accounts Receivable - Recovery		Accounts Receivable Recovery and PI	М	Land Charges	S	Accounts Receivable
	Council Tax Liability		Housing Rent Collection	М			
	Business Rates setting and billing	S	Income Collection	S	-		
	Business Rates Liability	S					
Capital Programme Management	Project Management Benefits Realisation, including capital funding	М					
HR Management	HR - SAP Optimisation		Recruitment and Selection	S	Human Resource Case Management	L	Human Resource Management
	Port - Effectiveness of Restructure Communications re organisational change	S					Compliance with pay and grading model
Health and Safety					Port Health and Safety	S	
ICT Infrastructure			ICT Disaster Recover / Business Continuity	L			
	ICT Asset management	М					
Cyber Security	Cyber Security	М	Cyber Security	М	Cyber Security	М	Cyber Security
	Mobile Device Management	S			Information Security	S	Information Security
Information Governance/Security	GDPR	М	GDPR	М	GDPR	S	Compliance with Caldicott Requirements
					Information Security	S	Information Security
					Archived Records Management	М	
Business Continuity Management	Update of Directorate plans re new structures	М	Corporate Business Continuity Arrangements	S	Use of Assistive Technologies	М	Resilience to Port Service Business Commitments
					Resilience of Port Management Structure		
Programme/Project Management	Project Management Benefits Realisation, including capital funding	М	Programme Governance Arrangements - Smarter Cities		Programme Governance Arrangements - Smarter Cities	S	Regeneration Programme Management Arrangements
Asset Management			Housing Asset Management	М	Corporate Asset Management Strategy and Compliance		Corporate Asset Management Strategy
			Collections Management	М			
Anti Fraud and Corruption	Payroll compliance Testing		BACS	S	BACS	S	Protection of Vulnerable Adults Property
	BACS compliance testing	S	Purchasing Cards		Income Collection	S	BACS S
i	Cash Receipting	S	Income Collection	S	Accounts Receivable		Income Collection S

			Accounts Receivable Recovery and PI					
	AR Recovery	S	Accounts Receivable Recovery and Pr	М	Accounts Payable		Accounts Receivable	
	ICT Asset Management	N/	Accounts Payable	e e	Land Charges	S	Accounts Payable	
	Council Tax Setting and Billing		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	М	Housing Rent Collection	М	Payroll		Adult Social Care Income Arrangements	
chools	23 schools in the plan. 21 complete to date.	S	20 schools in the plan, 20 complete to date.	s	19 schools in the plan, 19 complete to date.	S	13 Schools in the plan, 3 complete to date. 3	s
	17 Substantial, 4 Moderate	5	18 substantial, 1 Moderate, 1 Limited	5	12 substantial, 5 moderate, 2 limited	5	substantial	°
Sunderland Care and			Compliance with Financial Procedures in		Compliance with Financial Procedures in		Compliance with Financial Procedures in	
upport	Risk and Assurance Framework		establishments	S	Establishments	S	Establishments	
	DPO Checks	S	ICT Security within establishments	S	Business Continuity Arrangements	М	Assistive Technologies	
	Unit Costing		DPO Checks	S	Arrangements DPO Checks	S	DPO Checks	
	Compliance with financial procedures in				Workforce planning, resilience and			
	establishments	S	Workforce planning, resilience and wellbeing		wellbeing		Workforce Planning	
	Business Continuity (Telecare)	L			Transport Arrangements	М	Staff Wellbeing	
	Recruitment and DBS Checks	S					Relationship Management	
ogether 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	М	Cyber Security	М
	Performance Management - Data Quality	S	Next Steps		Holiday and Activity Fund	L	Holiday Activity Fund	
	Purchase cards	М	Nook Lodge - Compliance with Financial Procedures in Establishements	S	Interrupted Educational Pathways		Interrupted Educational Pathways	
	Achievement of cost savings		Procurement of Independent Providers -	М	National Assessment and Accreditation	S	Strategic Programme Management	
	Achievement of cost savings		Residential	IVI	System Grant Claim	3		
	Legal services		Counter Fraud	М	GDPR	S	Claremont House	
	Designated Officer	S	National Assesment and Accreditation System Grant Claim	S	Staff Wellbeing	S		
	Liquid logic	М			<u>                                     </u>			
							]	
					4			
alian LLD								
glion LLP	Governance Arrangements	M	Financial Management	S	GDPR Bisk Management Arrangements	L	Risk Management Arrangements	
			Contract/relationship management Disposal of property	M M	Risk Management Arrangements Project Management Arrangements		Project Management Arrangements	
			Performance management	S				
					7			