

## Risk and Assurance Map July 2020

| Strategic and Corporate Risk Areas   |                    |                               | 1st Line             | 2nd Line                          |                     |                       |             |     |            |                 | 3rd Line            |                    |
|--|--------------------|-------------------------------|----------------------|-----------------------------------|---------------------|-----------------------|-------------|-----|------------|-----------------|---------------------|--------------------|
|  | Current Risk Score | Cumulative Assurance Position | Management Assurance | Other Internal Assurance Activity |                     |                       |             |     |            |                 | Internal Audit      | External Assurance |
|  |                    |                               |                      | Law & Governance / DPO            | Financial Resources | Programmes & Projects | Performance | ICT | People Mgt | Health & Safety | Business Continuity | Risk & Assurance   |
| <b>Strategic Risk Areas</b>  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| <b>Dynamic City</b>  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| More and better jobs   |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| More and better housing  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| More local people with better qualifications and skills to enable them to participate in and benefit from a stronger economy |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| A stronger City Centre with more businesses, housing and cultural opportunities  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| A lower carbon City with greater digital connectivity for all  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| <b>Healthy City</b>  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| Access to the same opportunities and life chances  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| More people living healthier longer lives  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| More people living independently   |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| Cleaner and more attractive City and neighbourhoods  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| A City with great transport and travel links   |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| <b>Vibrant City</b>  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| More creative and cultural businesses  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| More residents participating in their communities  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| More visitors visiting Sunderland and More residents participating in cultural events  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| More people feel safe in their neighbourhoods and homes  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| More resilient people  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| <b>Enabling</b>  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| Finance  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| Partnership Working  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
|  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| <b>Corporate Risk Areas</b>  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| Strategic Planning   |                    |                               | X                    |                                   |                     |                       | X           |     |            |                 |                     |                    |
| Commissioning  |                    |                               | X                    |                                   |                     |                       |             |     |            |                 |                     |                    |
| Service Delivery Arrangements  |                    |                               | X                    |                                   |                     |                       |             |     |            |                 |                     | X                  |
| Partnership/Integrated Working   |                    |                               | X                    |                                   |                     |                       |             |     |            |                 |                     | X                  |
| Procurement  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     | X                  |
| Relationship/Contract Management   |                    |                               | X                    |                                   |                     |                       |             |     |            |                 |                     | X                  |
| Legality   |                    |                               | X                    | X                                 |                     |                       |             |     |            |                 |                     | X                  |
| Risk Management  |                    |                               | X                    |                                   |                     |                       |             |     |            |                 |                     | X                  |
| Corporate Performance Management   |                    |                               | X                    |                                   |                     |                       | X           |     |            |                 |                     |                    |
| Financial Management   |                    |                               | X                    |                                   | X                   |                       |             |     |            |                 |                     | X                  |
| Income Collection  |                    |                               |                      |                                   | X                   |                       |             |     |            |                 |                     | X                  |
| Capital Programme Management   |                    |                               |                      |                                   | X                   |                       |             |     |            |                 |                     | X                  |
| Human Resources  |                    |                               | X                    |                                   |                     |                       |             |     | X          | X               |                     | X                  |
| Health and Safety  |                    |                               | X                    |                                   |                     |                       |             |     |            | X               |                     |                    |
| ICT Infrastructure   |                    |                               |                      |                                   |                     |                       |             | X   |            |                 |                     | X                  |
| Cyber Security   |                    |                               |                      |                                   |                     |                       |             | X   |            |                 |                     | X                  |
| Information Governance/Security  |                    |                               | X                    | X                                 |                     |                       |             |     |            |                 |                     | X                  |
| Business Continuity Management   |                    |                               | X                    |                                   |                     |                       |             |     |            | X               |                     | X                  |
| Programme and Project Management   |                    |                               | X                    |                                   |                     | X                     |             |     |            |                 |                     | X                  |
| Asset Management   |                    |                               | X                    |                                   |                     |                       |             |     |            | X               |                     | X                  |
| Anti-Fraud and Corruption  |                    |                               | X                    |                                   |                     |                       |             |     |            |                 |                     | X                  |
|  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| <b>Council Owned Companies</b>   |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| Sunderland Care and Support Ltd.   |                    |                               |                      |                                   | X                   |                       |             |     |            |                 |                     | X                  |
| Together for Children Sunderland Ltd.  |                    |                               |                      |                                   | X                   |                       |             |     |            | X               |                     | X                  |
| Sunderland Homes Ltd.  |                    |                               |                      |                                   |                     |                       |             |     |            |                 |                     |                    |
| Siglion LLP  |                    |                               |                      |                                   | X                   |                       |             |     |            |                 |                     | X                  |

Key: X=activity planned, White=no coverage, **Green**=full / substantial assurance, **Amber**=moderate assurance, **Red**=limited / no assurance

