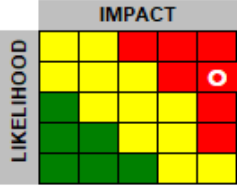
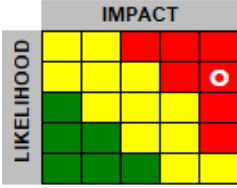
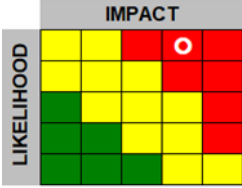
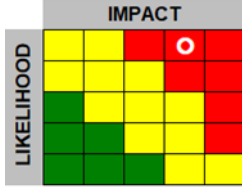
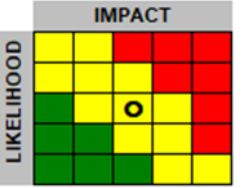
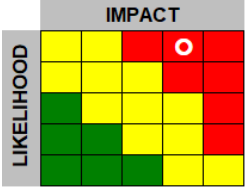
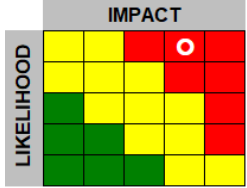
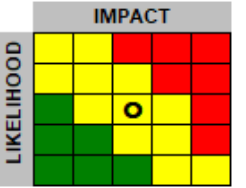

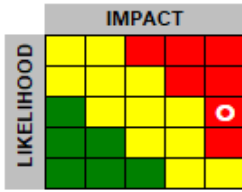
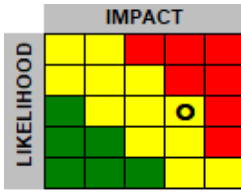



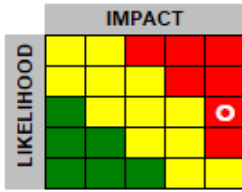
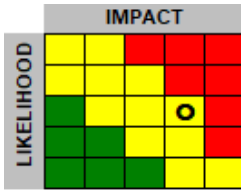
Risk Description	Previous risk score	Current risk score	Target risk score
Significant impact on Service Delivery for Planning and Sefton LA			
Causes	Government are completing an overhaul of Planning System		
Result	Impact - Requirement to review and amend local plan, impact on financials as creates a removal of revenue. Loss of control with potential impact on Town Centre Recovery and Community cohesion		
Current treatments and controls	Added on 05.08.20 impact and associated actions not yet known, requires escalation onto CRR As controls and Govt detail become clearer the impact will be re-assessed and this may be removed from CRR.		
Risk owner	DM		
Proposed actions	The Actions associated are still to be defined and finalised as Government guidance on requirements still needs further clarity, maintain on the CRR		

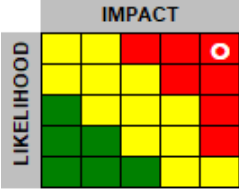
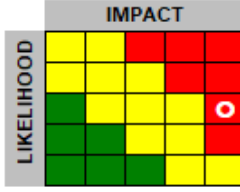
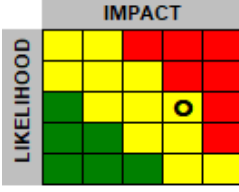
Risk Description	Previous risk score	Current risk score	Target risk score
Gaps in understanding of community needs			
Causes	Lack of community response to request to complete census Low response rates to census in certain wards		
Result	<ul style="list-style-type: none"> The Council uses the information gathered in the census to plan and inform service decisions. Gaps in the information gathered in the census decreases the quality of information available to the Council Financial sustainability could be compromised 		
Current treatments and controls	<ul style="list-style-type: none"> Completion of the Census Day 2021 promoted via Council's Social Media and News Channels Promotion of the Census included Council building being lit up National Census team encouraging participation by direct contact with individuals in areas of low take up Targeted social media to areas of low up take to encourage completion of Census after Census Day 		
Risk owner	ED CR&CS		
Proposed actions	<ul style="list-style-type: none"> Consider new census information when published - The initial findings from the 2021 Census of Population and Housing in England and Wales that took place on 21 March 2021. Statistics from the 2021 Census will be released in stages over the next year to April 2022 		

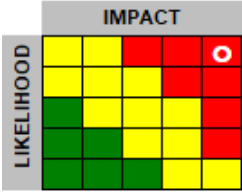
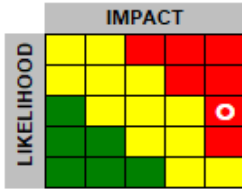
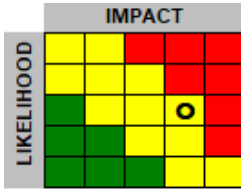
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to effectively manage and support the response to a pandemic incident</p>			
Causes	<p>Major pandemic incident occurs where there are multiple community outbreaks of COVID-19 impacting on the local area and staff. Recovery plans not in place.</p>		
Result	<ul style="list-style-type: none"> • Increased morbidity and mortality • Reduced capacity across the Local Authority and partner organisations. • 20-35% staff absences anticipated in services across the Local Authority and partner organisations. • Services delivery reduced as a result of the implementation of business continuity. • Increased demand of services in response to outbreaks. • Increased social anxiety. • Services, businesses and schools being temporarily closed. • Surge of demand in supply chains. • Negative socio-economic impact. • High level of media and public interest in the Council's actions • Loss of reputation 		
Current treatments and controls	<ul style="list-style-type: none"> • Sefton Council Strategic Coordination Group (SCG) for COVID-19 established and meeting. Sefton Governance structure and operational response cells in place to manage impacts of COVID- 19 and support Sefton residents, businesses and delivery of council services. Sefton operational cells align to multi-agency workstreams on the Merseyside Resilience Forum (MRF), Liverpool City Region and other regional / North West forums. • Engagement with the Merseyside Resilience Forum (MRF) and participation in multi-agency Strategic and Tactical Co-ordination Groups to manage response to COVID-19 impacts for Merseyside. Sefton Officers chair, lead and are active members of multiple MRF multi-agency response cells working across the Merseyside footprint and linked into national government via MHCLG. • Enhanced partnership working with Sefton based agencies to deliver effective response outcomes e.g. Sefton CVS, CCGs, Health agencies, Care Homes, schools and private sector organisations. • Enhanced working practices to facilitate remote, agile and home working for majority of staff. Robust IT systems to allow virtual meetings and extended customer contact centre opening hours. Co-ordinated approach to recruit and mobilise volunteers/council staff to deliver support to Sefton residents/communities who become vulnerable to the impacts of the pandemic. Re-prioritisation of council activities and re-direction of staff roles to provide support where it most needed or to enhance capacity for service areas that become severely under staffed as a result of increase in demand or loss of personnel able to work. 		

	<ul style="list-style-type: none"> • Pro-active Communications strategy for public facing, internal and multi-agency working, co-ordination of information and guidance updates and out of hours on call Comms rota. • Links to national guidance and Gov.uk latest information repository pushed out via staff intranet, social media and other partner communications /news platforms. • Sefton Major Incident Guidance Document/Sefton Business Continuity Policy/Sefton Business Continuity Strategy/Service Area COVID-19 BC plans/E- learning module on Business Continuity • Sefton dedicated and knowledgeable teams including Public Health Team and Risk and Resilience Function • Continuous reinforcement of hand hygiene and infection control messages from Public Health both internally and externally. • Regular Communications from HoS and Senior Managers to staff with regard to observation of social distancing and on-going 'stay safe' COVID-19 advice including continue to work at home wherever possible. • Outbreak Board chaired by Leader meeting weekly. Wider partnership outbreak board meeting bi-weekly. • Additional public health staff recruited to strengthen health protection response • Locally supported contact tracing service in place. • Community and targeted asymptomatic Lateral Flow testing in place. • Surge testing completed in three wards in Southport in response to identification of Variant of Concern
Risk owner	DPH/CEO
Proposed actions	<ul style="list-style-type: none"> • Review Council Pandemic Plans, including the Outbreak plan in response to publication of COVID-19 Response Spring 2021 • Asymptomatic testing plan to be reviewed in light of expanding national testing streams • Contact tracing service will flex in response to changing rates of infection and provide additional cover (testing, vaccine promotion etc) as wider Council workforce return to routine duties. • Funding secured to develop Community Connectors programme • MRF multi-agency Strategic Recovery Co-ordinating Group planning in development. • Place based planning in progress

Risk Description	Previous risk score	Current risk score	Target risk score
The Council is the victim of a cyber-attack.			
Causes	Malware, ransomware or another virus infects the Council's systems.		
Result	<ul style="list-style-type: none"> • Services will not have access to systems and data as standard and will have to fall back on non-ICT delivery methods, albeit without access to key data. • Data breach occurs. • Financial impact of ransom. • Reputational damage 		
Current treatments and controls	<ul style="list-style-type: none"> • Cyberattack prevention measures are in place, including <ul style="list-style-type: none"> - Upgraded Council firewalls and active SIEM monitoring service. - Anti malware tools - New Acceptable use policy ready for deployment - LGA Stocktake completed - PSN Accreditation achieved - New security standards for email encryption implemented • Back-up disaster recovery facility is in place at a separate site, allowing Agilisys to restore the top 20 critical systems. • Agilisys has a Business Continuity-Disaster Recovery plan in place which covers an action plan for this priority restoration, and the subsequent restoration of all other systems - this is aligned to the Business Continuity work programme • Ongoing monitoring in in place via ICT governance arrangements • Windows Defender anti-virus software is constantly updated alongside ESET also deployed • Communication to employees regarding the rise in malware attacks is in place, with plans to roll out better user education on this topic. 		
Risk owner	ED CR&CS		
Proposed actions	<ul style="list-style-type: none"> • The ongoing ICT Transformation programme will see the majority of systems and data migrated to Microsoft Azure cloud hosting, which will reduce the overall risk; however, a review of all security controls is underway by the Security Committee • Deployment of industry standard ESET solution in progress • Formal rollout of Cyber Security Awareness training. • Develop new Business Continuity-Disaster Recovery plan in line with wider Corporate review of Business Continuity 		


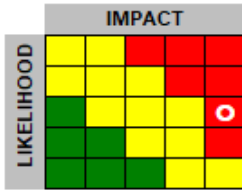

Risk Description	Previous risk score	Current risk score	Target risk score
Financial sustainability beyond 2021/22			
Causes	<ul style="list-style-type: none"> The national review of local government funding and the next comprehensive spending review and subsequent 3 year financial settlement places further strain on the Council's overall medium term budget. Due to the scale of budget reductions since 2010 there is a risk that further suitable cost-saving/income generating measures will be difficult to identify. The current pandemic will also significantly affect both the in year and future years budget pending advice and further support from central government. The impact of the Global pandemic will also have an impact on the councils finances with increased demand for services, a reduction in income and reductions in collection Fund income 		
Result	<ul style="list-style-type: none"> Degradation of service could have an adverse impact on residents and communities The reputation of the Council may be compromised Financial sustainability could be compromised 		
Current treatments and controls	<ul style="list-style-type: none"> The financial sustainability of the council at this time will be driven by the support offered by central government to mitigate the impact of COVID 19. The spending review announcement on 25 November 2020 and subsequent local government finance settlement in December 2020 informed the budget package for 2021/22 that was approved by Council on 4 March 2021. This budget will be monitored in 21/22 in the same way as in 20/21 ie focussing on the approved budget, impact of the pandemic and impact on the collection fund. The budget report clearly sets out the risks that will exist in 2021/22 and that remedial actions maybe required. As stated the level and nature of government support aligned with national and local restrictions will be key influencing factors. Within the budget report is a defined approach to setting the 22/23 to 24/25 budget and the propose move to setting multi year budgets if possible. This has served the council well since 2010 		
Risk owner	ED CR&CS		
Proposed actions	<ul style="list-style-type: none"> Deliver the Councils Budget Plan for 2021/22 that was approved on 4 March 2021 Commence the development of the MTFP for the 3 years from 2022/23 to 2024/25 in advance of the 3 year comprehensive spending review due in October 2021, taking particular account of the risks posed in the collection fund and Children's Social Care Start the development of budget proposals for 2022/23 to 2024/25 as part of the Framework for Change 2020 taking full account of COVID19 Inform the governments fair funding review and comprehensive spending review and lobby for additional support to mitigate the impact of COVID 19 		

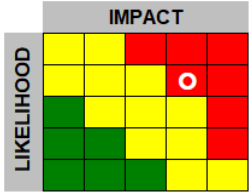
Risk Description	Previous risk score	Current risk score	Target risk score
Data breach resulting in the wrongful release of personal and/or sensitive information			
Causes	Policies and processes coordinated by Information Management and Governance Executive Group are not adhered to, resulting in a higher incidence of breaches caused by human error System error occurs		
Result	Failure to comply with legal requirements; loss of privacy, distress or harm to the data subject; damage to Council's reputation; loss of public confidence; and significant financial penalties.		
Current treatments and controls	<ul style="list-style-type: none"> Information management and governance, including data breaches and actions to prevent data breaches, is overseen by the Information Management and Governance Executive Group (IMGEG), which consists of Heads of Service with lead responsibilities for key aspects of IMG (i.e. designated Data Protection Officer/IG Lead, Senior Information Risk Owner and Lead officer for ICT infrastructure) supported by other officers with key roles relating to IMG Each service has designated Information Asset Owners and Information Asset Administrators. Policies, procedures, processes and issues are communicated to these officers through the Information Management and Governance Tactical Group. Support, co-ordination, advice and guidance is provided corporately and appropriate training/refresher training is in place. The Council has implemented policies, procedures and processes to prevent, manage and respond to potential and actual data breaches. 		
Risk owner	All Heads of Service		
Proposed actions	<ul style="list-style-type: none"> Appropriate resourcing, prioritisation and focus on information management and governance across the Council include the following: Regular monitoring and review by IMGEG of policies, procedures and processes to prevent, manage and respond to potential and actual data breaches. Ongoing review of information systems to ensure no inappropriate or unforeseen data linkages exist within systems or reports. Review of systems ahead of updates to identify any unintended changes. Ongoing education of staff and monitoring of activity by IAOs and IAAs to identify and prevent areas of human error. Regular review of information contained to ensure information is accurate and any information that should be removed is removed. Regular reporting by IMGEG to SLB and Audit and Governance Committee as necessary Maximise the opportunities from the Council's ICT Transformation to increase and embed effective information management and governance 		

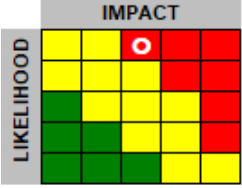
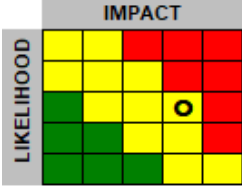
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to manage historic records effectively</p>			
Causes	<p>The risk is amplified by the implementation of GDPR (in particular the right to erasure and tighter deadlines for response to Subject Access Requests). In addition, the Council's Asset Maximisation programme which may lead the Council to leaving, redeveloping or selling buildings where records are held and moving to Paper Light working arrangements.</p>		
Result	<ul style="list-style-type: none"> • Failure to comply with legal requirements relating to retention, consideration, release or correct disposal of historical information; damage to Council's reputation; loss of public confidence; and significant financial penalties. • Historical information is not stored or managed correctly, such that it is lost, damaged or incorrectly disposed of • Not known to the organisation when making relevant decisions; retained when it should have been correctly disposed of. 		
Current treatments and controls	<ul style="list-style-type: none"> • Information management and governance is overseen by the Information Management and Governance Executive Group (IMGEG), which consists of Heads of Service with lead responsibilities for key aspects of IMG (i.e. designated Chief Information Officer; Senior Information Risk Owner; and Lead officer for ICT infrastructure), supported by other officers with key roles relating to IMG. • Each service has designated Information Asset Owners and Information Asset Administrators. Policies, procedures, processes and issues are communicated to these officers through the Information Management & Governance Tactical Group. • Support, co-ordination, advice and guidance is provided corporately and appropriate training/refresher training is in place. • The Council has implemented policies, procedures and processes for the management of information and has in place corporate contracts for appropriate digitisation, disposal and archive storage services. • The Council has implemented a Historic Records Pilot Project to identify the scale, condition and correct management of all historic records held. This project reports regularly to IMGEG. • Regular monitoring and review by IMGEG of policies, procedures and processes to prevent, manage and respond to potential and actual data breaches. • Regular communications to workforce reminding them of training and responsibilities. 		
Risk owner	<p>All Heads of Service</p>		


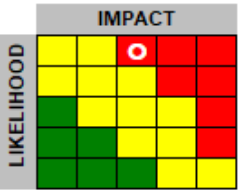
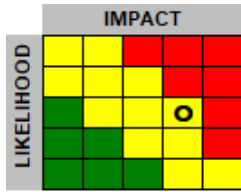
**Proposed
actions**

- Appropriate resourcing, prioritisation and focus on information management and governance across the Council, including support for Information Asset Owners and Information Asset Administrators including action on the following.
- Regular monitoring and review by IMGEG of policies, procedures and processes for the management of information, including historic information.
- Regular monitoring and review by IMGEG of the progress and implications of the Historic Records Pilot Project, including reporting to SLB and Audit and Governance Committee as necessary.
- Maximise the opportunities from the Council's ICT Transformation to increase and embed effective information management and governance.
- Commission training to improve understanding of data handling requirements and checks and controls
- Ongoing education of staff and monitoring of activity by IAOs and IAAs to identify and prevent areas of human error.

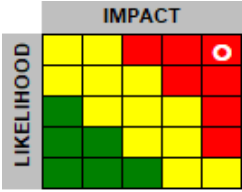
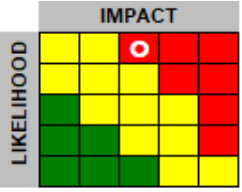
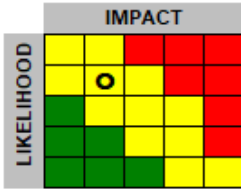
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Inadequate capability to prepare for and respond effectively to a major incident affecting the Council or occurring in Sefton as per the Council's responsibilities under the Civil Contingencies Act 2004.</p>			
Causes	<p>A major incident occurs affecting the Council or the Borough. This risk is accentuated as the government has determined the terror threat level as "severe" and was raised to "critical" on two occasions in 2017.</p>		
Result	<ul style="list-style-type: none"> • Loss of human life, illness or serious injury • Major damage or destruction to infrastructure, property and/or the environment • Disruption or loss of critical services such as transport, communications, utility services • Reputational or financial harm to the authority 		
Current treatments and controls	<ul style="list-style-type: none"> • Emergency Response Manual and Major Incident Guidance in place. • Revised Command and Control structure in place which defines Strategic and Tactical level officers. • Emergency Duty Co-ordinators invited to attend quarterly briefing sessions, and all are able to access Resilience Direct containing incident response plans. • Relevant training provided to Emergency Duty Co-ordinators and volunteers on an ongoing basis. • Attendance and participation in Merseyside Resilience Forum and joint planning across Merseyside. • Humanitarian volunteers in place and team strengthened following successful recruitment drive. • Plans for response and recovery are the subject of ongoing review and update, particularly in light of the government's assessment of the terror threat level as "severe". • Ongoing development and review of supporting plans. • Business Impact Analysis training for the Risk and Resilience team has been completed. This has resulted in the production of BIAs for all service areas. • Business Continuity Policy and strategy have been devised and approved. 		
Risk owner	<p>All Heads of Service</p>		
Proposed actions	<ul style="list-style-type: none"> • Business Continuity Planning Implementation Plan has been devised and is currently being implemented. This includes the following: • Service Level Business Continuity Plans now completed and will be tested during 2021. • Sefton Corporate Level Business Continuity Plan to be produced by end August 2021. • Business Continuity Testing and exercising to be undertaken during 2021- external provider currently being investigated due to lack of experience and expertise within the council. 		

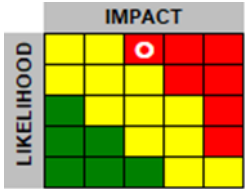
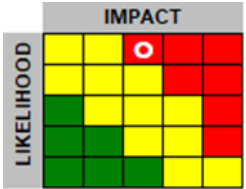
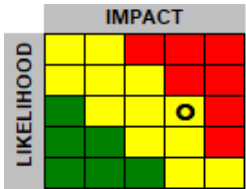
Risk Description	Previous risk score	Current risk score	Target risk score
Inability to deliver the requirements and commitments for the Growth Programme and its associated Projects	New risk – no previous score recorded		TBC
Causes	Required Capital and Revenue funding not available to deliver the projects for Economic Recovery and Growth. This can be due to unavailability or timing of funds available.		
Result	<ul style="list-style-type: none"> • Increased business failure • Reputational Damage especially on projects declared already in the public domain. • Increased unemployment • Financial and reputational risks to the Council • Impact on communities. • Loss of reputation • Impact of wider economic change on residents, particularly the most vulnerable 		
Current treatments and controls	<ul style="list-style-type: none"> • Growth Programme and associated Governance and project controls. • Bid process and expertise applied to all existing and new funding opportunities. • Members approval and prioritisation of existing and new projects. • Constant and consistent evaluation and use of Growth Budget. • Opportunities in respect to Capital receipts from asset disposal. 		
Risk owner	HOS - EG&H		
Proposed actions	<ul style="list-style-type: none"> • Actively pursue all additional funding available in timely and at the earliest opportunity. • Create and make available Bid Team focused on and challenged with successful bids. 		

Risk Description	Previous risk score	Current risk score	Target risk score
Climate Emergency- Strategic Risk	New risk – no previous score recorded	 <p>A 5x5 risk matrix with 'LIKELIHOOD' on the y-axis and 'IMPACT' on the x-axis. The grid is color-coded: Green (Low), Yellow (Medium), and Red (High). A red circle with a white center is located in the top row, third column (High Impact, Low Likelihood).</p>	 <p>A 5x5 risk matrix with 'LIKELIHOOD' on the y-axis and 'IMPACT' on the x-axis. The grid is color-coded: Green (Low), Yellow (Medium), and Red (High). A black circle with a white center is located in the second row, fourth column (Medium Impact, Medium Likelihood).</p>
Causes	The Council has declared a climate emergency with a view to becoming a net zero contributor by 2030- the aim of this declaration is to improve the lives of residents, make the Borough a more attractive place to live and work, contribute to addressing the global impact of climate change contribute to stopping the deterioration of the Sefton environment.		
Result	<ul style="list-style-type: none"> • Further deterioration in air quality • Extensive Coastal Erosion • Further deterioration in overall Sefton Environment • Sefton fails to support the drive to reduce carbon emissions that are having a significant impact on climate change • Reduced life expectancy • Reputational damage having declared an emergency and agreed a strategy and implementation plan 		
Current treatments and controls	<ul style="list-style-type: none"> • Council has declared a climate emergency • Council has agreed the Strategy to meet this Declaration • Initial activities all completed • 3 year implementation place agreed by council • Annual Reports track progress and are reported to Cabinet and Council • First year of activity on target • Initial projects in 3 year period include- move to agile working for staff, street lighting energy scheme, decarbonation work at Bootle and Southport Town Halls and exploring options around using 100% renewable electricity 		
Risk owner	ED CR&CS and ED People		
Proposed actions	<ul style="list-style-type: none"> • Assess options for 100% renewable electricity • Ensure completion of initial 3 year implementation place • Identify and bid for external funding to support change initiatives as without such financial support this will compromise the councils ability to meet its target • Work with Combined Authority on communication strategy and leverage the CA to identify external funding and align with their programme of works • Work with the voluntary sector who have also declared a climate emergency - this will support delivery of schemes, external funding generation and community engagement for both organisations 		


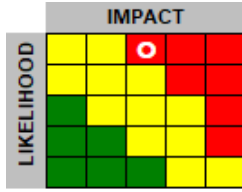
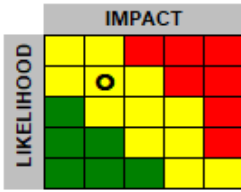
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Dedicated Schools Grant High Needs Funding for Special Educational Needs is inadequate to meet requirements.</p>			
<p>Causes</p>	<ul style="list-style-type: none"> • High Needs budgets are under considerable pressure from increasing numbers of children being diagnosed with complex and life-long SEND related issues. • National funding allocations are not increasing annually to reflect increases in local population demand and so any additional commissioned places need to be financed from within existing budget envelope. • The number and value of requests from mainstream schools for "top-up" funding (for children with SEND) continues to increase year on year as schools face financial pressures to meet the first £6k of any SEN Support. • Maintained special school provision is full and so more and more children are being placed in independent provision which is more expensive. Whilst this issue is being addressed in 2021/22 through extra In-House provision, there remain risks that external placements may continue at high additional cost. • Central Government have advocated parental preference for SEND provision - which has added to the number of children being placed in independent provision - with no additional funding 		
<p>Result</p>	<ul style="list-style-type: none"> • Sefton's High Needs budget overspend was £2.8m for the financial year (2020/21) and this increased the balance sheet deficit on High Needs to around £8.3m. • In 2021/22, despite a considerable increase to Sefton's High Needs Funding allocation of over £3.1m, there is still a forecast overspend for 2021/22 of £1.5m, which would take balances on High Needs to a deficit of £9.8m by the end of 2021/22, unless this can be addressed. • The estimated deficit on the high needs block will be held on the Council's Balance Sheet. The DfE do not expect the Local Authority's General Fund to cover accumulated deficits, however the size of the deficit is continuing to increase. • Ofsted inspection affected. 		
<p>Current treatments and controls</p>	<ul style="list-style-type: none"> • Report to Cabinet on work programme , timescales and objectives • Engagement with Head of Education Excellence and the SEN team Managers on how costs can be contained. • Sufficiency statement produced that will drive future strategy and financial sustainability • Lobbying and engagement of both DfE and MCCLG on financial impact and the need for increased support • Engagement with special schools actively working with individual schools to review impact of any proposed changes to their funding, reviewing three-year financial plans, identifying any strategic savings to mitigate high calls on DSG High Needs funding. • Review of place and top up levels of funding. 		

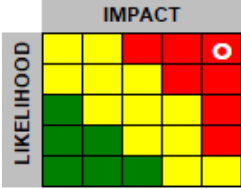
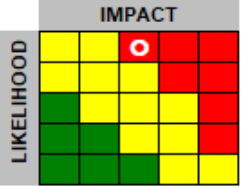

	<ul style="list-style-type: none"> • In addition, further work is being undertaken on alleviating the barriers to inclusivity within mainstream settings and assessment of effectiveness of capital spend to maximise mainstream settings for children and young people. • Sefton Schools Forum has agreed to the continuation for an additional year of intra-block funding decisions made in 2020/21 to increase funding available in 2021/22. • The transfer of 0.25% (£0.430m) from the Schools Block to the High Needs Block, will target funding towards supporting the most inclusive schools. • The National High Needs Block formula funding allocation to Local Authorities has increased by £780m in 2020/21; and by a further £730m in 2021/22 as part of a three year funding agreement compared to the 2019/20 baseline. • Sefton's share of the additional funding in 2021/22 after deductions for directly funded schools by the ESFA and excluding increases for Teachers Pay and Pensions which was rolled into the HN Funding settlement, is £2.555m.
Risk owner	Head of Education Excellence
Proposed actions	<ul style="list-style-type: none"> • Lobbying of Government continues with a view to securing increased funding. Some LA s have been working in partnership with the DfE with agreement to have their High Needs deficits reduced over a 3 year period and Sefton will engage with the DfE to seek a similar agreement based on its work on a High Needs review and towards reaching a balanced budget position 2021/22 - 2022/23 • The SEND Schools Forum is the Project Group tasked with implementing an action plan to address the annual overspend, cumulative deficit and bringing the budget back into an in-year balanced position for 2021/22 - 2022/23. • To date, two specific workstreams have been developed with LA and School representatives working on a number of key areas: • Developing a new funding model to support children with EHCPs; • Clarifying high needs funding outside of the EHCP process; • Reviewing provision and placement sufficiency. • Considering new ways of working with SEN children in schools, making them more cost effective and with good outcomes. • Review of the graduated response and supporting SEN leadership in schools.


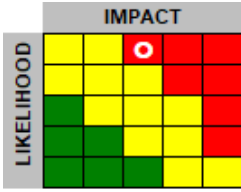

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to manage increasing demand for services within Children’s Social Care</p>			
Causes	<p>Increase in the number of children needing a CSC intervention including increase in LAC and CP Changes to National Transfer Scheme- rota system for unaccompanied asylum seekers - New demand from Sept 21 Budgets reduced to meet Council Targets has had an impact on the delivery of early help services</p>		
Result	<ul style="list-style-type: none"> • Inability to cope with demand, increased safeguarding risks • Loss of reputation and poor inspection outcomes • Increase in budget pressures • Increase in Social Work Caseloads 		
Current treatments and controls	<ul style="list-style-type: none"> • Regular audit of cases, scrutiny of data and understanding of demand to predict future demand (needs analysis), commissioning improvement programme, financial and quality project to ensure reduction in placement costs. • Demand Management Programme as part of the next PSR projects in place with a number of workstreams to reduce demand for services • National Transfer Scheme- rota system for unaccompanied asylum seekers - Approaches made to providers to assess capacity to support this provision - exploration of securing additional capacity 		
Risk owner	HoCSC		
Proposed actions	<ul style="list-style-type: none"> • Demand management workstream with project management • Recruitment of Support workers to undertake non - social work tasks • Managed Service in place to support reduced SW caseloads • Increased resource to discharge Care Orders at home 		

Risk Description	Previous risk score	Current risk score	Target risk score
<p>School debts transferring back to the Council in the event of them being forced into academy status or closing.</p>			
Causes	<p>Schools with Licensed Deficit Budget Agreements with the Council fail an OFSTED Inspection and the Secretary of State for Education issues and Academisation Order to transfer control of the school over to Multi Academy Trust. Governing Bodies of Schools with Licensed Deficit Budget Agreements are not provided assurance that the school can become viable and Elected Members agree to the closure of the school.</p>		
Result	<ul style="list-style-type: none"> • There are 7 Schools who are operating under a Notice of Concern as they have an agreed licensed deficit agreement with the Council or are projected to be in a deficit balance situation in 2021/22. • There are two other schools that have deficits in 2021/22 and the LA will be providing them with a Final Notice and working with the Governors to produce a financial action plan to address the deficit and agree a licensed deficit. The overall deficit of the above establishments in 2021/22 is approx.£1.96m 		
Current treatments and controls	<ul style="list-style-type: none"> • All Schools must provide 3-year financial plan to the Council by 30th April each year and get agreement to operate under a Licensed Deficit Agreement. • Along with any Licensed Deficit Budget Agreement Schools are also given a Financial Notice letter which sets out the financial framework under which the Governors and Senior Members of the school must operate while they are in deficit. • Quarterly report to Cabinet Member Children, Schools and Safeguarding on overall financial risk to the Council and performance of each school against the agreed Licensed Deficit Plans. • Termly meetings with Head of Education Excellence and Finance staff with the Chair of Governors and Headteacher of each school operating under a Licensed Deficit Budget Agreement to discuss financial performance against agreed plan. • Discussion of financial performance of schools at termly Schools Causing Concern meetings where educational performance is also discussed and identifies schools that could fail any upcoming OFSTED Inspection. • The option for the Council to remove delegation from the school if an academy order is placed on the school and the Council has concerns regarding the overall deficit position of the school. 		
Risk owner	HoEE		
Proposed actions	<ul style="list-style-type: none"> • Continued operation of Licensed Deficit Agreements and scrutiny of school financial plans and ongoing support to Governing Bodies • Meetings between the Council and the Liverpool Archdiocese to develop strategy to support a number of VA Schools who present a significant financial concern to the Council. 		

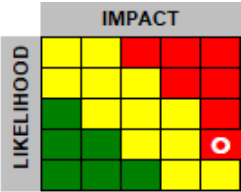
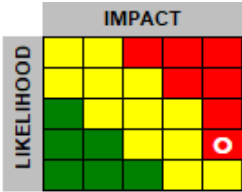
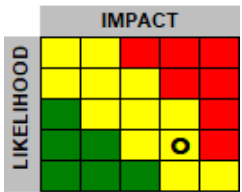
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| | <ul style="list-style-type: none">• Agreement from the DfE to provide the Council with additional financial support through its School Resource Management Advisory Team to review the finances of specific schools and give some external / independent advice on a school's finances. |
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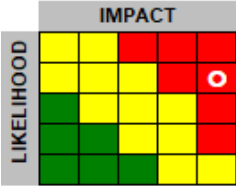
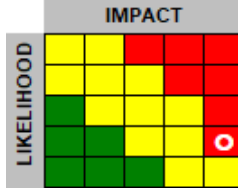
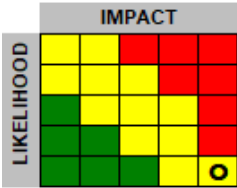
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to plan within annual budget for increased placement costs for Children's Social Care</p>			
Causes	<p>Numbers of children in care increase, demand for placements cannot be met as cost increases. Impact of Covid 19 on demand National Transfer Scheme- rota system for unaccompanied asylum seekers - Changes of responsibility across Local Gov means Sefton will need to consider arrangements for unaccompanied asylum seekers and impact on local market Increased cost of placements.</p>		
Result	<p>Costs increase and quality and sufficiency of placements decreases</p>		
Current treatments and controls	<ul style="list-style-type: none"> • Fortnightly meeting to monitor placement costs and reduce high cost placements • Programme of market reform in residential market • Focus on recruitment of in house foster carers • Work with LCR on a wider programme of market reform. 		
Risk owner	<p>HoCSC</p>		
Proposed actions	<ul style="list-style-type: none"> • Development of market to meet need • Opportunities to collaborate across LCR to develop market • Regular review of budgets to identify and mitigate pressures • Project Management through Demand Management Workstream 		

Risk Description	Previous risk score	Current risk score	Target risk score
Impact of regulatory framework and outcome of Joint Target Area Inspection			
Causes	Joint Target Area Inspection with a deep dive into Mental Health identified Priority Actions for the Partnership ILAC inspection likely to take place in the next 6 months		
Result	<ul style="list-style-type: none"> • Services are found to be not adequately safeguarding children and meeting their needs • Reputational damage to the Council and statutory partners with significant impact on staff morale and potential difficulties recruiting social workers • Significant impact on LA reputation if priority actions are not addressed 		
Current treatments and controls	<ul style="list-style-type: none"> • Independent Improvement Board is already established. • A DfE Adviser has been appointed and a new improvement team is in place with a plan to address priority actions. • Governance arrangements reviewed and strengthened with Children's Improvement Partnership Board reporting to Health and Wellbeing Board • QA framework in place. • Ongoing preparation in place for ILAC inspection 		
Risk owner	HoCSC		
Proposed actions	<ul style="list-style-type: none"> • CSC Improvement Plan is reported to the Independent Improvement Board and to the DfE • Performance meetings to continue. Accurate and detailed diagnostics completed across the department, workstreams established and actions being undertaken. • Support via Partners in Practice to scrutinise effectiveness of partnership arrangements and permanence arrangements for children • Programme of audit and independent audit planned. 		

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to mitigate impacts of COVID-19, EU Exit, winter, austerity, on the Sefton economy</p>			
<p>Causes</p>	<ul style="list-style-type: none"> • Lack of support for business • Lack of progress on projects that can support recovery • Lack of capital and revenue funding from government • Impact of wider issues on local businesses (e.g. national retailers) • Loss of key employers to the borough and towns, particularly Bootle and HMRC, Santander • Impact on key sectors (especially hospitality) in Southport 		
<p>Result</p>	<ul style="list-style-type: none"> • Increased business failure • Increased unemployment • Financial and reputational risks to the Council • Impact on communities of port disruption, increased traffic, etc • Loss of reputation • Impact of wider economic change on residents, particularly the most vulnerable 		
<p>Current treatments and controls</p>	<p>Sefton Strategic Recovery - Economy Plan:</p> <ul style="list-style-type: none"> • Plan currently being adapted to include in more detail the Covid-19 and EU Exit requirements. • The Sefton Economic Strategy (SES) Action Plan is being used as the "Foundation Document" for the Economic Recovery Plans • The SES A/Plan has been thoroughly reviewed and is fit for purpose for foundation of recovery planning. <p>The SES A/Plan and associated recovery actions will report through the Economy Cell structure. The Economy Cell will report through the Growth board and Exec for Place.</p> <ul style="list-style-type: none"> • Covid related Grants will be managed effectively as all previous e.g. discretionary Grants and will report through the Economy Cell. • Growth programme - Will ensure through regular review and Stewardships that projects if applicable focus on recovery for the Economy • Ongoing business and Employment support via InvestSefton and Sefton@Work in context of and when required focused on pandemic and of EU Exit • Full engagement in regional growth-related forums • Establishment of multi-stakeholder working groups focused on recovery in key town centres. • Recovery planning activity in Southport underpinned by Town Deal opportunities 		

Risk owner	HoEG&H
Proposed actions	<ul style="list-style-type: none">• Actively pursue opportunities for additional external funding via LCR/CA and HMG to develop projects• Investor proposition development and proactive business development activity to ensure attraction and retention of businesses and employers in the borough• Finalise Sefton-specific recovery plans and investor pack materials• Investor Material prepared (Mickledore) in sign off. Additional funding from all sources followed up, Recovery Plan (outward version) ready and prepared with Comms Team. Strategic Recovery Plan - Economy being re-visited in lieu of current changing circumstances

Risk Description	Previous risk score	Current risk score	Target risk score
Market failure of Adult Social Care provision			
Causes	<ul style="list-style-type: none"> • Lack of market engagement and market development due to lack of capacity and resource. • Capability and capacity of the available workforce to provide domiciliary care. • Lack of diversity of supply in the market to provide choice and control • People working in Care Quality Commission (CQC)-registered care homes will need to be fully COVID-19 vaccinated with two doses of a COVID-19 vaccine unless they have a medical exemption from October 		
Result	<ul style="list-style-type: none"> • Inability to provide packages of care for service users • Inability to maximise the opportunity of reablement • Lack of alternative providers able to support social care • Poor quality service provision • Significant increase in unmet needs of service users due to a fragile market that is not developing • Recruitment pressures in care homes 		
Current treatments and controls	<ul style="list-style-type: none"> • Market Position Statement 2020 • Winter Planning/checklist • Health and Wellbeing Strategy 2020-2025 • Integrated Commissioning Group • Centralised Commissioning Support function • Commissioning priorities and full work plan 		
Risk owner	HoASC/HoSS		
Proposed actions	<ul style="list-style-type: none"> • Recovery and transition review to explore Workforce, process, commissioning and partnerships post pandemic • Winter Planning/checklist evaluation • Review and align strategic plans to current contracts to ensure Value for Money and objectives are met. • Continual cycle of review in ways of working • Development of new opportunities through working with LCR, CCG and wider commissioning partnerships. • Commissioning priorities and full work plan. • Workforce development of the independent workforce. • Ensure involvement of key stakeholders • As per commissioning workshop, review structure and workplan to deliver the above. 		

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to adequately invest in the Highway network and associated assets.</p>			
Causes	Budget reductions; inadequate funding levels to meet need.		
Result	<ul style="list-style-type: none"> • Deterioration of highway assets • Potential increase in claims • Financial and reputational risks • Potential increase in accidents resulting in injury and/or death 		
Current treatments and controls	<ul style="list-style-type: none"> • Essential work is prioritised within available budget. Regular inspections of most assets to monitor and guide prioritisation of works in order to mitigate risk. • Regular updates provided to Cabinet Member • Preventive surface treatments used to prolong the life of the network and to treat more of it than if more long-term maintenance solutions were used (i.e. resurfacing) 		
Risk owner	Ho H&PP		
Proposed actions	Actively pursue opportunities for additional external funding via LCR/CA and others to maintain and improve network.		