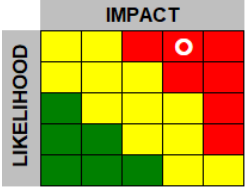
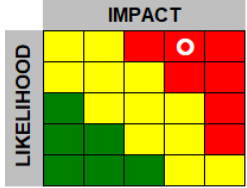
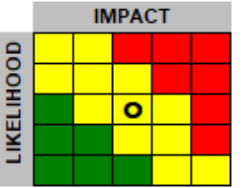

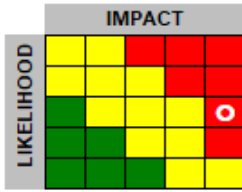
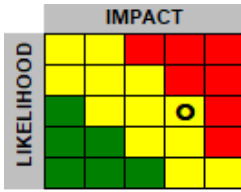
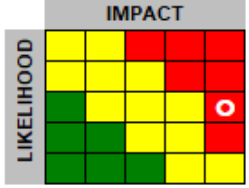
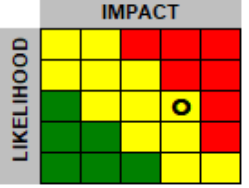



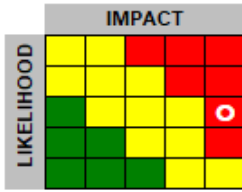
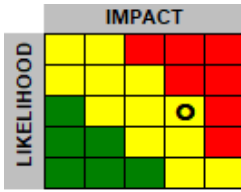
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to effectively manage and support the response to a pandemic incident</p>			
Causes	<p>Major pandemic incident occurs where there are multiple community outbreaks of COVID-19 impacting on the local area and staff. Recovery 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 but now stood down. 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. The arrangements have largely stood down apart from those linked to the Merseyside Resilience Forum, but structure can be stood back up as necessary. • 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. 		

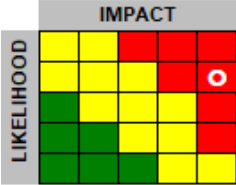
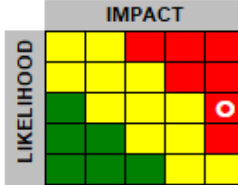
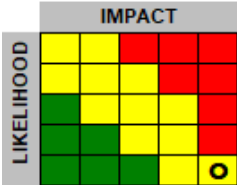
	<ul style="list-style-type: none"> • Pro-active Communications strategy for public facing, internal and multi-agency working, co-ordination of information and guidance updates and out of hours on call Comms rota. • Links to national guidance and Gov.uk latest information repository pushed out via staff 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. Wider partnership outbreak board meeting. • 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 and Formby 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 Winter Plan and updated contain framework • Asymptomatic testing plan in place until March 2022. • 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. • Community Connectors continue to support Covid-19 response, community engagement and vaccine uptake. • MRF multi-agency Strategic Recovery Co-ordinating Group planning ongoing. • Place based planning in progress

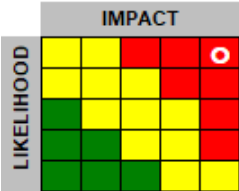
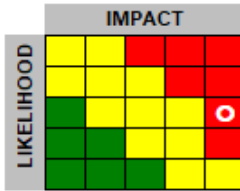
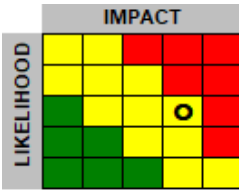
Risk Description	Previous risk score	Current risk score	Target risk score
Gaps in understanding of community needs			
Causes	Lack of community response to request to complete census Low response rates to census in certain wards		
Result	<ul style="list-style-type: none"> The Council uses the information 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 		


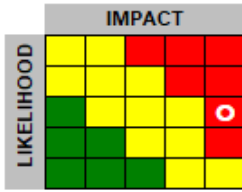
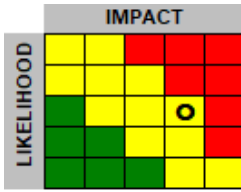
Risk Description	Previous risk score	Current risk score	Target risk score
The Council is the victim of a cyber-attack.			
Causes	Malware, ransomware or another virus infects the Council's systems.		
Result	<ul style="list-style-type: none"> • Services will not have access to systems and data as standard 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 - LGA Stocktake completed - PSN Accreditation achieved - New security standards for email encryption implemented - Further network security in place to reduce risk • 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 • 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 and improve Business Continuity, however further work is underway to improve the current security posture further • Education programme for phishing to continue and this will be linked to the annual information security training • Review of Cyber Incident planning underway given the recent high-profile breaches in other authorities. 		

Risk Description	Previous risk score	Current risk score	Target risk score
Financial sustainability beyond 2021/22	New risk – no previous score recorded		
Causes	The Council has a wholly owned Housing Development Company- due to the prevailing economic conditions at present and the issues that surround supply chains (which are worldwide) there is a risk that there could be a financial impact on the Council.		
Result	<p>There are 3 key issues that could materialise from this risk</p> <ul style="list-style-type: none"> • The council's potential dividend of £1.3m may not be received and this would have an impact on the MTFP • The Council provides a debt facility to the company that based on the recent cabinet report amounts to £8.3m- this is due to be repaid in 2024. • The Councils ambition to provide high quality Housing maybe compromised 		
Current treatments and controls	<ul style="list-style-type: none"> • The Council has recently (October 2021) received a detailed update report on all aspects of the Company's activities including building programmes, grant funding and financial implications • Within that report members were provided with details of how the business plan was revised to inform more accurate financial projections that reflect a more accurate build, completion and sales programme. • That report also provided details of the risk management approach that the company administers • The Company has advised that it will utilise the councils internal audit team to undertake a work programme during 2021/22 • The new financial implications received by members will only be approved when the company provides the council with an updated exit strategy- this will be provided to members in December together with an update on governance arrangements 		
Risk owner	CEX/ ED CR&CS		
Proposed actions	<ul style="list-style-type: none"> • Receive revised exit plan to understand full risk that the council would be exposed to at the peak debt level • Receive monthly monitoring reports from the Company and report to Members any material variations to the Business Plan • Ensure governance arrangements are robust • Complete annual audit work • Complete annual report to Cabinet and Council as appropriate on delivery of Business Plan • Ensure MTFP takes account of latest dividend projections and Budget reports detail fully balance sheet exposure as a result of peak debt and how this would be managed 		

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 council's 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 in the next three year period will be driven by the support offered by central government via the spending review and subsequent local government financial settlement. This will inform the development of the councils three year budget from 2022/23. the council will receive a revised MTFP based on the CSR announcement at the council meeting in November and this will take account of all known information to inform decision making. The council will also inform the consultation exercises that will follow on the local government finance settlement and business rates reset and fair funding review. Future budget assumptions will take account of the latest estimates and will also be sufficiently prudent to ensure financial sustainability is maintained. 		
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 Produce a revised three year MTFP for 2022/23 to 2024/25 for cabinet/ council that reflects the 3 year comprehensive spending due in October 2021 Revise all three year budget assumptions especially those assumptions in respect of income sources and demand led services that have been affected by the pandemic In considering revisions to budget assumptions aim to understand whether these issues are permanent budget issues or temporary in nature Inform the governments fair funding review and business rates reset consultations that will inform funding in years 2 and 3 of the 3 year period Maximise the use of funding awarded to support the council's response to the pandemic to support the longer-term impact of COVID 19 on the council's budget 		


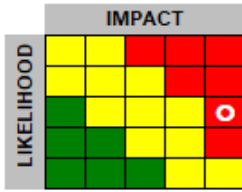
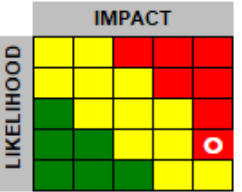
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to adequately invest in the Highway network and associated assets.</p>			
Causes	Budget reductions; inadequate funding levels to meet need; rising prices for services, materials and equipment.		
Result	<ul style="list-style-type: 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	<ul style="list-style-type: none"> • Actively pursue opportunities for additional external funding via LCR/CA and others to maintain and improve network. • Work with Contractors and suppliers to manage risk, mitigate for price rises and manage supply chain. 		

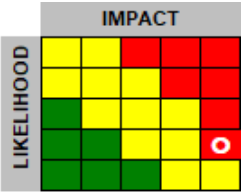
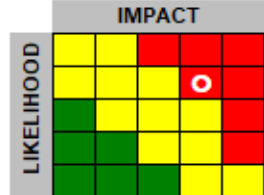
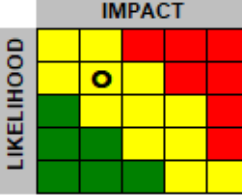
Risk Description	Previous risk score	Current risk score	Target risk score
Data breach resulting in the wrongful release of personal and/or sensitive information			
Causes	Policies and processes coordinated by Information Management and Governance Executive Group are not adhered to, resulting in a higher 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. 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 		

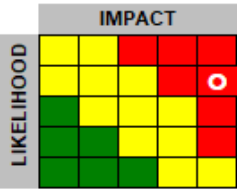
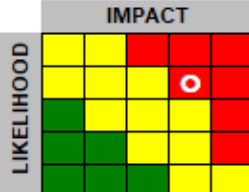
Risk Description	Previous risk score	Current risk score	Target risk score
Failure to manage historic records effectively			
Causes	The risk is amplified by the implementation of GDPR (in particular the right to erasure and tighter deadlines for response to Subject Access Requests). In addition, the Council's 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.		
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 (Senior Information Risk Owner; Lead officer for ICT infrastructure, IG Lead/DPO), 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, including reminders to undertake this on an annual basis. • 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 Project to manage 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	All Heads of Service		

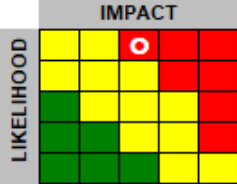
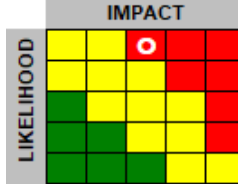
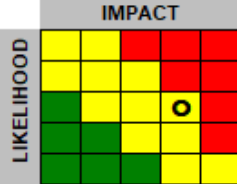
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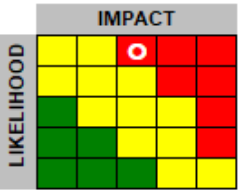
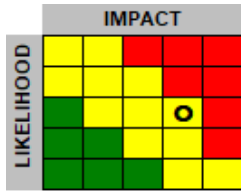
- Appropriate resourcing, prioritisation and focus on information management and governance across the Council, including support for Information Asset Owners and Information Asset Administrators including action on the following.
- Regular monitoring and review by IMGEG of policies, procedures and processes 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 (EDCs) are able to access Resilience Direct containing incident response plans. • Relevant training provided to Emergency Duty Co-ordinators and volunteers on an ongoing basis. Two EDCs have now completed Multi Agency Gold Incident Commander (MAGIC) accredited training. • Attendance and participation in Merseyside Resilience Forum and joint planning across Merseyside. • Humanitarian volunteers in place and regular meetings and training now offered. • Continuous development and review of supporting plans. • Service Level Business Continuity plans now completed. Business Continuity eLearning package available to all staff • 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"> • Four additional EDCs to undertake MAGIC training in February 2022. • A Business Continuity Management System has been devised and is currently being implemented. This includes the following: • Service Level Business Continuity Plans currently undergoing review and improvement of content. This includes details of key supplier information and IT matrix to identify critical systems within each service. This will then inform a testing regime for the plans. • Exercising of Business Continuity plans to be undertaken late 2021/early 2022. • External provider currently being sought to support exercising due to lack of experience and expertise within the council. 		


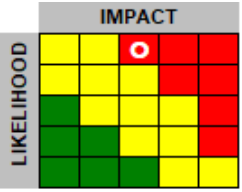
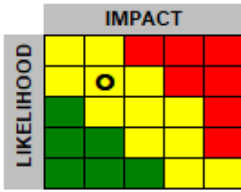
Risk Description	Previous risk score	Current risk score	Target risk score
Market failure of Social Care provision across Adult and Children's			
Causes	<ul style="list-style-type: none"> • Capability and capacity of the available workforce to provide domiciliary care • Lack of diversity of supply in the market to provide choice and control • Impact of Covid-19 and need for mandatory vaccination • Capability and capacity of the available workforce within the care home market 		
Result	<ul style="list-style-type: none"> • Inability to provide packages of care for service users and fulfil statutory duty of care • Lack of alternative providers able to support social care • Poor quality service provision and high costs • Significant increase in unmet needs of service users due to a fragile market that is not developing • Inability to meet sufficiency duty • Growing number of children placed out of borough 		
Current treatments and controls	<ul style="list-style-type: none"> • Market Position Statement • Integrated Commissioning Group/Strategic Commissioning Group • Strategic Commissioning Team • Commissioning priorities and full work plan • Health and Wellbeing Strategy 2020-2025 • Winter Planning/checklist • Robust supply chain review undertaken • Demand Management Programme in adults and children's 		
Risk owner	ED ASC&H, ED CSC&E		
Proposed actions	<ul style="list-style-type: none"> • Development of Workforce Strategy for Health and Care workforce • Review and align strategic plans to current contracts to ensure Value for Money and objectives are met. • Development of new opportunities through Sefton Place Based Partnership development • Children's High Risk/High Cost Project, Commissioning priorities and full work plan. • Market Plans aligned to level of risk- Domiciliary Care • Recruitment campaign developed - part of PBP plus links into national care sector recruitment campaign • Development of contingency plans for provider failure - risk escalation process 		

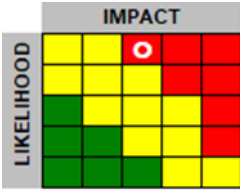
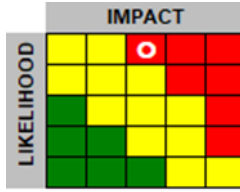
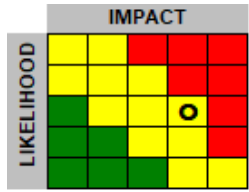
Risk Description	Previous risk score	Current risk score	Target risk score
Significant impact on Service Delivery for Planning and Sefton LA			Not indicated
Causes	Government are completing an overhaul of Planning System		
Result	Impact - Requirement to review and amend local plan, impact on financials 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 Planning Risk requires maintaining on the CRR as there is still no detailed guidance from the Government on the changes and so risk assessment and mitigation cannot be completed.		

Risk Description	Previous risk score	Current risk score	Target risk score
Climate Emergency- Strategic Risk			
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 council's 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 		

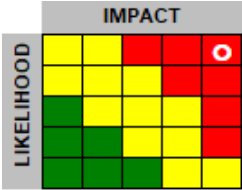
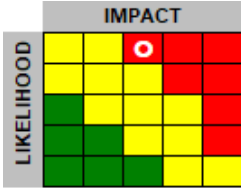
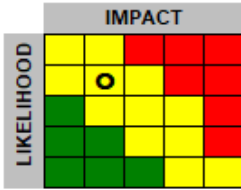
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Dedicated Schools Grant High Needs Funding for Special Educational Needs is inadequate to meet requirements.</p>			
<p>Causes</p>	<ul style="list-style-type: none"> • High Needs budgets are under considerable pressure from increasing 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. 		

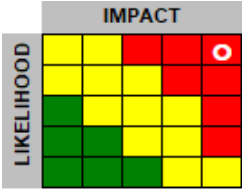
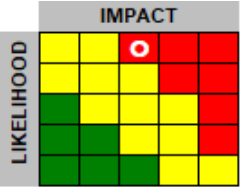
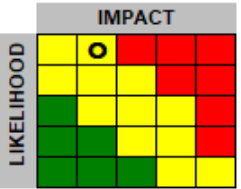
	<ul style="list-style-type: none"> • In addition, further work is being undertaken on alleviating the barriers to inclusivity within mainstream settings and assessment of effectiveness of capital spend to maximise mainstream settings for children and young people. • Sefton Schools Forum has agreed to 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.

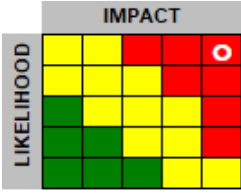
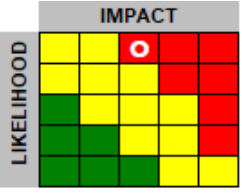

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to manage increasing demand for services within Children’s Social Care</p>			
Causes	<p>Increase in the number of children needing a CSC intervention including increase in LAC and CP Changes to National Transfer Scheme- 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 • Inability to meet childrens’ needs at the right time • 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) • Demand Management Programme as part of the next PSR projects in place with a number of workstreams to reduce demand for services. • Increased workforce capacity and recruitment and retention initiatives • Programmes sufficiency and commissioning to control spend and market development • 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	<p>HoCSC/DCS</p>		
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. <p>The overall deficit of the above establishments in 2021/22 is approx.£1.96m</p>		
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 		

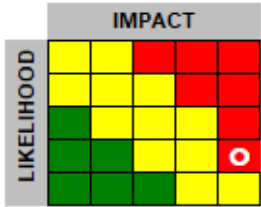
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| | <ul style="list-style-type: none">• Meetings between the Council and the Liverpool Archdiocese to develop strategy to support a number of VA Schools who present a significant financial concern to the Council.• Agreement from the DfE to provide 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 mitigate 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 and costs of placements 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. • Specialist resources for Children's Commissioning • Improvement Plan for Children's Commissioning • Independent Improvement Board with Chair and DFE representation 		
Risk owner	<p>HoCSC/DCS</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 		

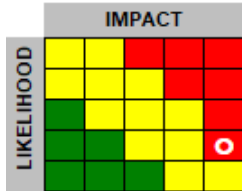
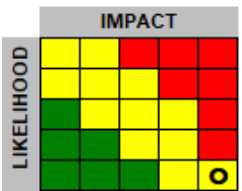
Risk Description	Previous risk score	Current risk score	Target risk score
Impact of regulatory inspection framework and the outcome of previous inspections on Sefton			
Causes	Negative outcomes of regulatory inspections and visits		
Result	<ul style="list-style-type: none"> • Services are found to be 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 is 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 due in the next 6 months • Improvement Plan • Full diagnostic completed 		
Risk owner	HoCSC/DCS		
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. 		

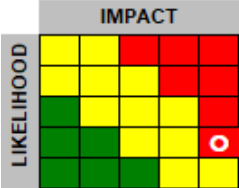
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to mitigate impacts of COVID-19, EU Exit, winter, austerity, on the Sefton economy</p>			
<p>Causes</p>	<ul style="list-style-type: none"> • Lack of support for business • Lack of progress on projects that can support 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, proactive engagement and business development ongoing. 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
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. External pressures affecting the construction sector, leading to challenges to project deliverability, affordability or timescales.		
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. Establish Project Review forums and reporting mechanisms for early visibility of reporting of project progress and any emerging issues - on a project-specific and programme-wide basis. Proactive external engagement with construction sector and key partners (e.g. LCR CA) to ensure visibility and understanding of risks to the sector and potential mitigants. Develop and implement procurement strategy to ensure sustained competition, robustness of process and suitable partners for project delivery.
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Risk Description	Previous risk score	Current risk score	Target risk score
Failure to adequately maximise the benefits of digital growth to the local community and businesses	New risk – no previous score recorded		
Causes	Budget reductions; inadequate funding levels and capacity to meet needs of strategy.		
Result	<ul style="list-style-type: none"> Digital and technology is a key enabler within multiple workstreams of the authority and its transformation programmes as well as being recognised as a enabler of economic growth. Non-delivery across digital workstreams would impact on key workstreams and economic growth. 		
Current treatments and controls	<ul style="list-style-type: none"> New and emerging challenges around digital infrastructure, inequalities and exclusion, and skills and training are addressed but a whole council approach is required to meet future challenges. 		
Risk owner	ED People		
Proposed actions	<ul style="list-style-type: none"> Key workstreams have been developed around infrastructure (linked to LCR Connect ((the LCRCA Backhaul Network), Digital Training and Skills Board and Digital Inclusion (both business and community focussed). All report into Framework for Change 2020. Overarching purpose is to develop the vision across all themes and to actively seek out collaborative opportunities to meet that vision through partners, VCF sector, LCRCA, private sector provides and central government funding streams. 		

Risk Description	Previous risk score	Current risk score	Target risk score
ASC Workforce – recruitment, availability of suitably qualified staff and retention of current workforce	New risk – no previous score recorded		TBC
Causes	<ul style="list-style-type: none"> • Inability to recruit qualified personnel - regional/nationwide issue • Working conditions and work pressures 		
Result	<ul style="list-style-type: none"> • Increased waiting times leading to missed priority and extremely vulnerable service users • Poor service delivery and overspend on budgets • Poor quality assessment and support planning • Increase in service user complaints • Poor morale and higher turnover of staff • Increased management resource needed to deal with HR issues 		
Current treatments and controls	<ul style="list-style-type: none"> • Staff induction and training and induction plans • Personnel and HR policies to address concerns around capability and performance • Process to monitor and manage staff absence • PDR process and assessment of training needs • Professional Practice Forum established • Robust training plan for ASYE Adults programme 		

	<ul style="list-style-type: none"> • Regular staff training events in place • Core training offer in place including annual LAS • Empower staff to value continued improvement - Focus on reading time for front line staff
Risk owner	HoASC
Proposed actions	<ul style="list-style-type: none"> • Workforce Development Strategy drafted • New supervision policy agreed and implemented • Establish celebrating success through case studies and staff acknowledgement • Review flexible and weekend working • Apprenticeship scheme expansion • Develop clear succession pathways across the service • Establish robust performance management strategy • Work collaboratively with ADASS and its membership to identify long term solutions • Investigate creative options of utilising skilled but unqualified personnel / extending apprenticeship scheme for creating 'homegrown' talent