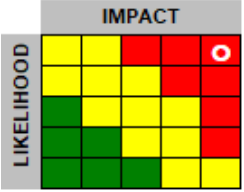
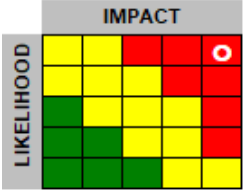
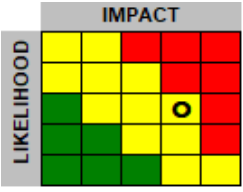
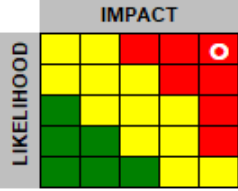
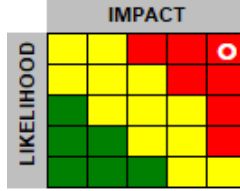
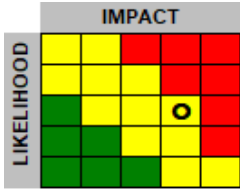


CORPORATE RISK REGISTER – NOVEMBER 2022

Risk Description	Previous risk score	Current risk score	Target risk score
Financial sustainability beyond 2022/23			
Causes	<p>The national economy, taking into account inflation and direct government funding which will be reflected in the resulting potential financial settlements for 2023/24 and 2024/25 and the demand for services, will place substantial strain on the Council's overall medium-term budget. As a result, significant budget and cost reductions will be required. Due to the scale of budget reductions made since 2010, there is a risk that further suitable cost-saving / income generating measures will be difficult to identify. The impact on the financial sustainability of the Council is therefore a key risk.</p>		
Result	<ul style="list-style-type: none"> • The council will need to identify substantial sustainable savings to meet the funding gap that arises from inflation, potential government grant reductions and increased demand for services • The budget reductions could have an adverse impact on residents and communities • The reputation of the Council may be compromised • Financial sustainability could be compromised • During 22/23 with the impact of the pay award, inflation on energy and costs in children's services a remedial budget plan of over £20m has been implemented but there remains inherent risk in the ability to deliver a balanced budget in year without additional government support. 		
Current treatments and controls	<ul style="list-style-type: none"> • The financial sustainability of the Council in the next two-year period after 2022/23 will be driven by the support offered by central government via the spending review and subsequent local government financial settlements. • The 2021 Spending Review indicated there would be no additional government funding nationally in these years, with only additional Council Tax available to support increases in costs. • It was previously forecast that the Review of Relative Needs and Resources would be completed in time to influence the 2023/24 settlement and it is estimated that this will have a negative impact on resources, however as at the start of November 2022, a consultation on the Review has not commenced and many commentators feel that it will not be in place for next year, thus increasing the uncertainty in the sector. As such developing the financial envelope to inform the Council's two-year budget from 2023/24 is difficult at this stage. • The Council's revised MTFP, based on the CSR announcement, was presented at the Budget Council meeting in March 2022 and this takes account of all known information to inform decision making-due to changes in global markets an update was provided to Council in July 2022. • Cabinet approved the next 3-year medium term financial plan at its November meeting which identified a substantial funding gap over the period and budget proposals will need to be identified to ensure financial sustainability is maintained. It should be noted that this report was published before the autumn budget statement (scheduled for 17th November) therefore the financial scenario will be updated after that. 		
Risk owner	ED CR&CS		

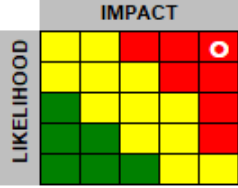
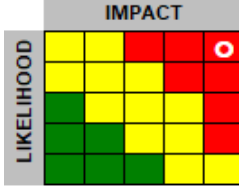
Proposed actions	<ul style="list-style-type: none">• Deliver the Councils Budget Plan for 2022/23 that was approved on 3 March 2022• Respond to all consultations in respect of the reform of local government finance and lobby for the best possible financial outcome for the Council - using the latest information from these consultations all 3-year budget assumptions will be updated accordingly.• Ensure the rigorous approach to budget monitoring continues through 2022/23• Work will continue within the budget cycle to identify proposals that will meet the budget gap- this work will focus on the next 2 financial years, i.e., the last 2 years of the spending review period. These will be presented to Budget Council in March 2023. At this stage it is not known if further central government grant reductions will take place or additional funding will be made available- these may not be known until the local government finance settlement in December 2022.
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Risk Description	Previous risk score	Current risk score	Target risk score
Dedicated Schools Grant High Needs Funding for Special Educational Needs is inadequate to meet requirements.			
Causes	<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 at a rate 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 more children are being placed in independent provision which is more expensive. Whilst this issue is being addressed 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. The current accounting override, whereby the HNF deficit is ringfenced, will cease in April 2023 and poses a significant risk to the council and will require identification of additional resources to cover the existing £12.4 m deficit 		
Result	<ul style="list-style-type: none"> Sefton's High Needs cumulative budget deficit was £12.4 m at the end of 2021/22. The estimated deficit on the high needs block continues to be held on the Council's Balance Sheet. Whilst the current DfE regulations do not expect the Local Authority's General Fund to cover accumulated deficits, this is currently the basis of review, with a call for evidence being conducted to inform ministerial discussions in the autumn. This is a significant financial risk to the Council as reported to cabinet in July 2022. 		
Current treatments and controls	<ul style="list-style-type: none"> Report to Cabinet on work programme, timescales, and objectives Engagement with Sefton's Executive Director of Children's Social Care and Education, Assistant Director of Education 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. 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. Council now part of DFEE Delivering Better Value Programme Comprehensive quarterly reports to be presented to Cabinet on sufficiency, in house provision, funding and deficit in order to 		

CORPORATE RISK REGISTER – NOVEMBER 2022

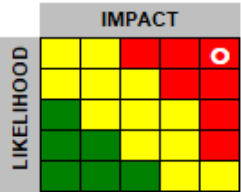

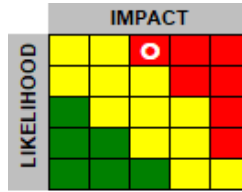
	provide rigour, transparency and inform decision making
Risk owner	Assistant Director Children's Services (Education)
Proposed actions	<ul style="list-style-type: none"> • Lobbying of Government has been successful, and Sefton will be working in partnership with the DfE in Dec 2022 to develop solutions to bring the High Needs Budget into a more financially secure position going forward and help to reduce the accumulated deficit over a set period. • Through the High Needs Review the LA has been working on two specific workstreams with 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.



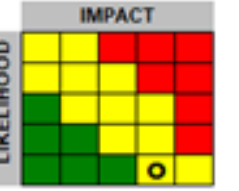
Risk Description	Previous risk score	Current risk score	Target risk score
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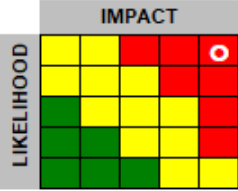
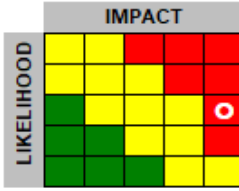
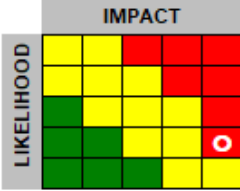
<p>The Provision of Children’s Social Care is not Financially Sustainable</p>			<p>TBC</p>
<p>Causes</p>	<ul style="list-style-type: none"> • Reduction in government funding • Lack of national response to the Independent Review of Children’s Social Care and report by the Competition and Markets Authority calling for action on the children’s social care market • Unprecedented demand • Increased placement costs in Children’s Social Care not included in Medium Term Financial Plan. • Numbers of children in care remain high • Insufficient local provision. • Inflation - Cost of placements continue to increase. • Commissioning capacity not sufficient to undertake effective market development. • Placements are not effectively reviewed 		
<p>Result</p>	<ul style="list-style-type: none"> • Impact on outcomes for children and young people • Lack of availability of suitable placements • Placements do not meet needs of children and young people. • Placements costs increase • Quality and sufficiency of placements decreases. • Children placed out of borough and unregulated placements. • Budget overspend 		
<p>Current treatments and controls</p>	<ul style="list-style-type: none"> • Children’s Service MTFP agreed by DCS and s151 in line with DfE Advisor recommendations • Joint Strategic Needs Assessment and supporting Children’s Chapters • Increased Leadership capacity in Children’s Services • Regular review of MTFP and Budget Monitoring • Joint Commissioning Strategy • Sufficiency Strategy • Market engagement and development including regional collaboration • LCR framework to coordinate the commissioning of independent residential and foster placements. • Marketing campaign to increase the number of in-house placements for children and young people. • Service Manager for Residential provision in post. • Fortnightly Placement Panel to monitor placement costs. • Monthly multi agency panels to review high-cost placements. 		
<p>Risk owner</p>	<p>Director Children’s Services</p>		


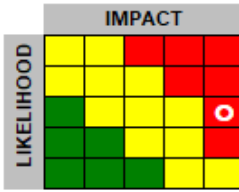
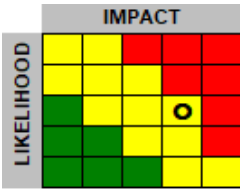
Proposed actions	<ul style="list-style-type: none"> • Budget to be rightsized for 2023 • Any additional expenditure required or requested will need the formal approval of Cabinet due to the wider Council budget pressures • Develop a Market Position Statement for approval at December Executive Commissioning Group. • Reopen existing in-house provision • Develop a business case for inhouse provision. • Continue marketing activity to recruit inhouse foster carers • Continue to collaborate across LCR and develop market including Independent Fostering Agency Forum and Residential Care Forum (January 2023)
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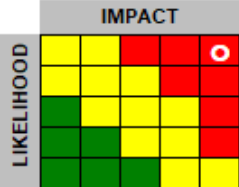
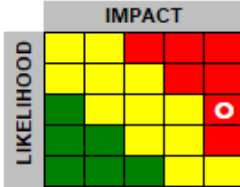
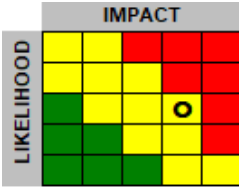
Risk Description	Previous risk score	Current risk score	Target risk score
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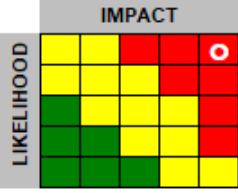
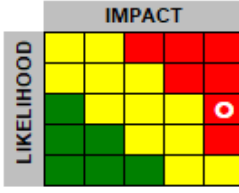
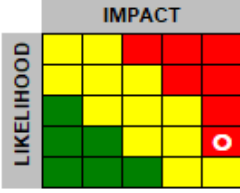
Financial sustainability beyond 2022/23				
Causes	The Council has a wholly owned Housing Development Company- due to the prevailing economic conditions at present, there is a risk that the value and timing of the dividend from phase 1 maybe the subject of change and the timing of the capital receipt is later than previously forecast.			
Result	Due to the national economic conditions at present, there is a risk that housing completions (driven by interest rates and potential inflation) will reduce from current levels. This could result in a delay to the completion of Phase 1 of company activity. This delay could reduce the dividend and it's timing together with the timing of the capital receipts and debt repayment due to the Council.			
Current treatments and controls	<ul style="list-style-type: none"> The Council in October 2021, received a detailed update report on all aspects of the Company's activities including building programmes, grant funding and financial implications. The new financial implications received by members were subsequently approved at Cabinet in December 2021 following the receipt from the company of an updated exit strategy. The annual update of the business plan will be reported to Cabinet in December 2022. Within that report members will be provided with a comprehensive update on the business plan and financial projections that reflect the latest estimates on the build completion and sales programme, and which will discuss the current risks driven by the national economic picture, especially interest rates and potential recession. A focus on the report will be placed on the progress on the first 2 sites for which sales are progressing and the 3rd site for which construction has yet to commence. The Company has utilised the Council's internal audit team to undertake a work programme during 2021/22 An update on governance arrangements for the company was approved by Cabinet in July 2022. An annual report will be presented to Overview and Scrutiny management board in November 2022 and will then be presented to the service O&S meeting at the start of 2023. A self-assessment against the local partnerships' guidance re. management of wholly owned companies will be completed. 			
Risk owner	CEX/ ED CR&CS			
Proposed actions	<ul style="list-style-type: none"> Due to prevailing market conditions and the volatility that exists, the housing market is currently seeing substantial change within it- this includes the cost of construction, house prices and the cost of mortgages, all of which could impact sales, completions and the performance of the phase 1 business plan. These risks will need to be managed by the company but as a number of these are outside of its control, close working with the Council will be required to inform effective decision making that protects the Council's financial interests and supports the original objectives of the company The governance arrangements and current controls will be continually updated - there is a lot of coverage nationally in respect of the management of wholly owned companies and as the guidance and best practice is updated on how these should be governed and managed is published, this will be taken into account by the council. 			
Risk Description	Previous risk score	Current risk score	Target risk score	

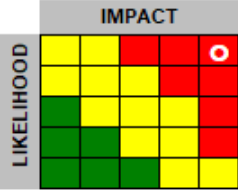
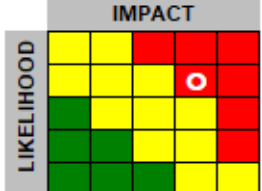
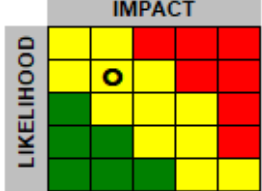
<p>Failure to adequately invest in the Highway network and associated assets.</p>			
<p>Causes</p>	<p>Inadequate funding to meet need; budget reductions; inflationary cost pressures; insufficient internal staffing resource; insufficient market capacity, contractor availability and contractor capacity; insufficient availability of materials and/or labour; delayed lead-in times for materials or services; rising prices for services, materials, and equipment.</p>		
<p>Result</p>	<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 • Reduction in amount of work able to be done within budget 		
<p>Current treatments and controls</p>	<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) • Increased Capital funding received through City Region Sustainable Transport Settlement (CRSTS) for 2022-24. Will require additional staffing resource to deliver. 		
<p>Risk owner</p>	<p>Assistant Director Highways & Public Protection</p>		
<p>Proposed actions</p>	<ul style="list-style-type: none"> • Actively pursue opportunities for additional external funding via LCRCA and others to maintain and improve network. • Work with Contractors and suppliers to manage risk, mitigate for price rises, material, and labour shortages, and manage supply chain. • Undertake recruitment to vacant posts; create and recruit to additional posts and/or commissions where funding available to do so • Further refine and strengthen project planning, delivery, and governance measures 		

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 and reviewed annually - 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 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. • Review of Cyber Incident planning completed, and revised policy released • Removal of unsupported systems from the network 		
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. • Ongoing Cyber Security Improvement plan in place, including plans to bring all systems in the support of the existing ICT Contract. • External validation and assurance on-going, linked to improvement plan. 		

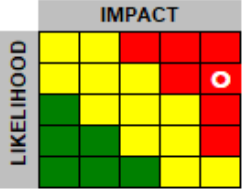
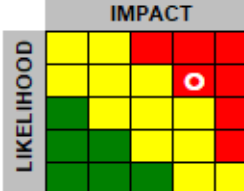
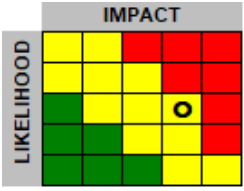
Risk Description	Previous risk score	Current risk score	Target risk score
Impact of Cost-of-Living Crisis on Residents and Demand for Council Services			
Causes	As residents become more vulnerable there is an increased demand for Council services - this increases pressure on teams and available resources.		
Result	<p>Increased demand will create:</p> <ul style="list-style-type: none"> • Increased waiting time for some services • Issues around the capacity of the workforce to meet this demand • Budget pressure that cannot be contained • The requirement for the Council to administer central government support to residents in a tight timescale • Community cohesion will be compromised. 		
Current treatments and controls	<ul style="list-style-type: none"> • Continual review of impact of cost-of-living crisis will be made based on demand for services, feedback from ward Councillors and performance information- this will lead to an agreed response with cabinet both in terms of direct support and impact on financial sustainability • In the event that the Council is asked to administer support to residents, the resource requirement will be evaluated and will be supported by new burdens funding and cabinet will be engaged on the most effective and efficient manner of providing that support 		
Risk owner	All Assistant Directors		
Proposed actions	<p>The Council will continue to lobby central government for support for residents impacted by the cost-of-living crisis and will continue to direct resources and support to those who need it most reflecting the core purpose objective of protecting the most vulnerable.</p> <p>A specific Child Poverty Strategy was approved by Cabinet in October 2022 and will be launched in December 2022 with partners and stakeholders. The Cabinet has considered regular reports on Cost of Living and the Health and Well Being Board has requested the matter be a standing item on the Board agenda going forward.</p>		

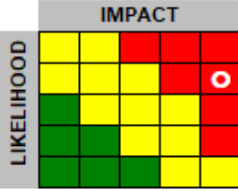
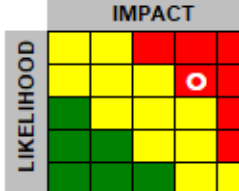
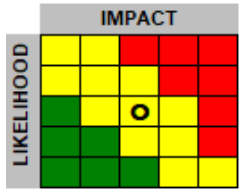
Risk Description	Previous risk score	Current risk score	Target risk score
Data breach resulting in the wrongful release of personal and/or sensitive information			
Causes	Policies and processes coordinated by Information Management and Governance Executive Group are not adhered to, resulting in a higher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

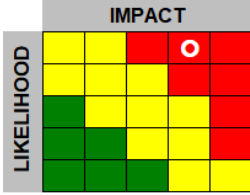
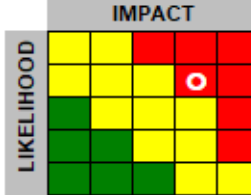
Risk Description	Previous risk score	Current risk score	Target risk score
<p>Inadequate capability to prepare for and respond effectively to a major incident affecting the Council or occurring in Sefton as per the Council's responsibilities under the Civil Contingencies Act 2004.</p>			
Causes	A major incident occurs affecting the Council or the Borough		
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. • Five 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 risk register completed and review on quarterly basis • Business Continuity Policy and strategy have been devised and approved. 		
Risk owner	All Assistant Directors		
Proposed actions	<ul style="list-style-type: none"> • A Business Continuity Management System has been devised and is currently being implemented. This includes the following: • Six monthly review of BC plans and activation exercise undertaken to confirm accuracy of contact details included. • External provider hosting a BC exercise in January 2023 to be attended by all Executive and Assistant Directors • Review and update of BC manual ongoing. 		

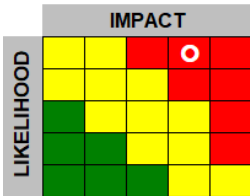
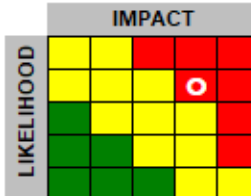
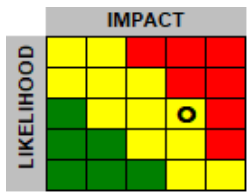
Risk Description	Previous risk score	Current risk score	Target risk score
Market failure of Social Care provision across Adult and Children’s			
Causes	<ul style="list-style-type: none"> • Capability and capacity of the available workforce to provide domiciliary care • Lack of diversity of supply in 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 with more LA's placing young people within Borough, placing additional pressure on ASC markets linked to transitions 		
Current treatments and controls	<ul style="list-style-type: none"> • Market Position Statement and refresh of Children's Sufficiency strategy 22-25 • Strengthen governance - Executive Commissioning Group/Strategic Commissioning Group • Strategic Commissioning Team - increased interim capacity • Commissioning priorities reset and improvement plan in place • Health and Wellbeing Strategy 2020-2025 • Winter Planning/checklist • Robust supply chain review undertaken • Demand Management Programme in adults and children's • Local Dynamic Purchasing system - approved by Cabinet • Cost of Care exercise now in process and on track to meet national reporting requirements • Re-procurement framework development has now commenced, and update scheduled for Cabinet June 2022. Timescale for procurement has been completed. • Extension of arrangements for block purchasing of hours in place to support hospital discharge and other opportunities to adopt similar arrangement being explored in the South • Fees 22/23 report completed and implemented • Weekly escalation meetings with HOS and to DASS in place • Market position for ASC reporting now embedded into system calls • Links maintained across C&M DASS group with key areas of focus on Market Sustainability, Home First and Discharge • LGA Peer challenge completed in July 2022 which will consider market oversight and sustainability 		
Risk owner	ED ASC&H, ED CSC&E		

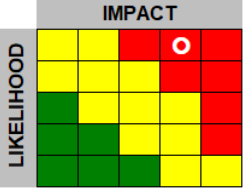
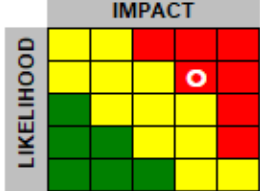
<p>Proposed actions</p>	<ul style="list-style-type: none"> • Strengthened oversight of Quality Assurance with dedicated Senior Manager support will add the ability to refocus quality assurance resources on identified areas of risk in the market and gather intelligence to inform risks and ensure resilience and capacity. • Continue to focus on 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 in progress with extension • Recruitment for Senior Commissioning Leadership post in process • Recruitment campaign developed with Market with ongoing input from Sefton at Work • Development of contingency plans for provider failure - risk escalation process • Cost of care exercises for care homes (65+) and Domiciliary Care (18+) concluded in line with DHSC requirements and outcomes to be submitted to DHSC by 14 Oct 2022. • links maintained with LCR on key market risks (capacity, workforce, cost of living, ceasing of covid funding, demand) • New Procurement for Domiciliary Care to commence in October 2022 (with new framework in place from April 2023) -agreed at June Cabinet • LGA Peer challenge completed in July 2022 which will consider market oversight and sustainability • Integrated commission arrangements will develop via new place arrangement. • Market Sustainability Plan and Fair Cost of Care Exercise to be sent to Central Government mid-October. • National Government Market Sustainability funding applied to Dom Care and care homes 65+ • Winter planning continues and work to mobilise a rapid and reablement expansion continues
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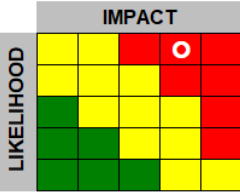
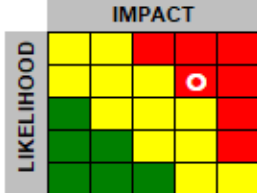
Risk Description	Previous risk score	Current risk score	Target risk score
Climate Emergency - Failure to meet the targets set out in the Council's declared climate emergency			
Causes	The Council has declared a climate emergency with a view to becoming a net zero contributor by 2030- the aim of this 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 • Pathway to net zero articulated in latest annual report including residual amount that maybe left and financial support that will be required from central government for decarbonisation • Annual Reports track progress and are reported to Cabinet and Council • 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 procurement of 100% renewable electricity 		
Risk owner	ED CR&CS and ED People		
Proposed actions	<ul style="list-style-type: none"> • Introduce 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. Work on-going with Multi Agency Partnership to galvanise alignment with Partners activity in this area and influence delivery in line with Sefton's Strategy. 		

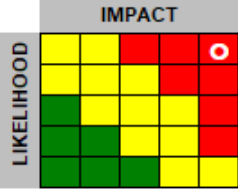
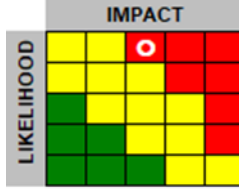
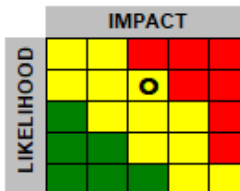
Risk Description	Previous risk score	Current risk score	Target risk score
Demand and Cost of Home to School Transport – Impact on the Financial Sustainability of the Council			
Causes	<p>Increasing expenditure is being driven by:</p> <ol style="list-style-type: none"> 1) The rising number of children and young people with an Education Health and care plan. 2) The rising number of children and young people whose needs are not met in local mainstream provision and placed in educational provision outside the local area 3) The rising cost of fuel and living 4) Driver and escort shortages, competing for scarce resources 		
Result	<ul style="list-style-type: none"> • Supply unable to match demand • Increased waiting time for users, impact on school attendance • Financial and reputational risks, financial sustainability of council could be compromised, budget pressure cannot be contained • Capacity of the workforce to meet this demand • Potential for poor service delivery • 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"> • Report to Leadership Team and Cabinet • Engagement with SEND on how demand can be contained • Review of In-House Fleet and post 16 charging policy • Monthly finance reports • On-going review of all provision • Personal travel budgets 		
Risk owner	Assistant Director of Education Excellence		
Proposed actions	<ul style="list-style-type: none"> • Expand personal travel budget programme • Explore expansion of in-house fleet • Engagement with SEND on how demand can be contained • Review of travel solutions, focus on Post 16, out of borough, single occupancy and personal assistants 		

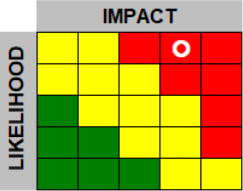
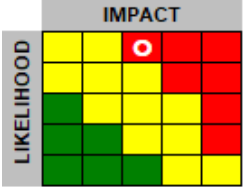

Risk Description	Previous risk score	Current risk score	Target risk score
Market Failure of Social Care Provision across Adults and Children's			TBC
Causes	<ul style="list-style-type: none"> • Lack of national response to the Independent Review of Children's Social Care and report by the Competition and Markets Authority calling for action on the children's social care market • National and regional pressures in Social Work recruitment and available workforce • Sufficiency in children's residential provision 		
Result	<ul style="list-style-type: none"> • Lack of alternative providers able to support social care • Poor quality service provision and high costs • Increase in unmet needs of children and young people due to a fragile market that is not developing. • Inability to meet sufficiency duty • Growing number of children placed out of borough with more LA's placing young people within Borough, placing additional pressure on ASC markets linked to transitions • Reliance on high cost out of borough residential provision for children and young people 		
Current treatments and controls	<ul style="list-style-type: none"> • Joint Strategic Needs Assessment and supporting Children's Chapters • Market Position Statement and refresh of Children's Sufficiency strategy 22-25 • Strengthened governance - Executive Commissioning Group/Strategic Commissioning Group • Strategic Commissioning Team - increased interim capacity • Commissioning priorities reset and improvement plan in place • Local Dynamic Purchasing system - approved by Cabinet • Re-procurement framework development has now commenced, and update scheduled for Cabinet. • Strengthened oversight of Quality Assurance with dedicated Senior Manager support will add the ability to refocus quality assurance resources on identified areas of risk in the market and gather intelligence to inform risks and ensure resilience and capacity 		
Risk owner	ED CSC and Education		
Proposed actions	<ul style="list-style-type: none"> • Development of new opportunities through Sefton Place Based Partnership development • Children's High Risk/High-Cost Project, Commissioning priorities and full work plan in progress • Recruitment for Senior Commissioning Leadership post in process • Development of contingency plans for provider failure - risk escalation process • Links maintained with LCR on key market risks (capacity, workforce, cost of living, ceasing of covid funding, demand) • Develop business case for inhouse provision of Children's residential care 		

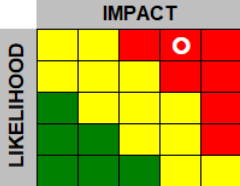
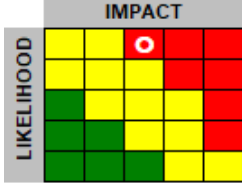
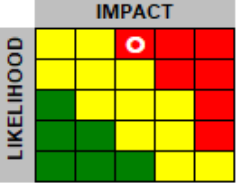
Risk Description	Previous risk score	Current risk score	Target risk score
Inflation and cost of care impact on budget availability			
Causes	<ul style="list-style-type: none"> National Care Crisis reflected at regional and local level Increasing provider costs – CPI etc / Impact of national decisions such as increase to National Living Wage Increased pressure to implement Real Living Wage – including to mirror approach adopted by other regional Local Authorities Workforce issues – recruitment, retention, pay and conditions/ Affordability 		
Result	<ul style="list-style-type: none"> Budgetary impact / Council overspend Failure to meet statutory obligations Provider failure Needs of the population being unmet Contracts being handed back – leading to potential increased use of non-contracted Providers Reputational damage 		
Current treatments and controls	<ul style="list-style-type: none"> Cost of Care exercise commissioned externally, and completed in line with DHSC requirements Market management by strategic commissioning re increased efficiencies Establishment of Local Framework Agreements to manage costs in process Establishment of Strategic Partnerships with providers Utilisation of workforce grants to support the market Involvement with regional forums e.g., NW ADASS Operational Commissioners Group to ensure collaborative approach, updates on key developments Collaborative fee setting exercise complete- paper to cabinet June 2022 LGA Peer Review completed July 2022 Strategic review of budget in process as part of Sector Led Improvement offer 		
Risk owner	ED ASC&H		
Proposed actions	<ul style="list-style-type: none"> Cost of Care Exercise completed in line with DHSC requirements Use of bespoke cost of care tools to calculate costs Implementation of Local Frameworks to control costs and commissioning activity (in process) Benchmarking with regional authorities Enhance pooled budget arrangements with Health in development in line with Place arrangements Integrated approach to commissioning further enhanced (Intermediate care, market sustainability) Transformation programme – realignment / redistribution of expenditure across service sectors to reflect actual/desired changes in demand Care Cap reform work commenced – paper submitted to ELT – Go live October 2023 		

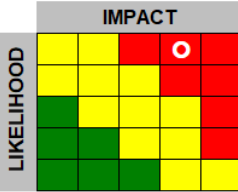
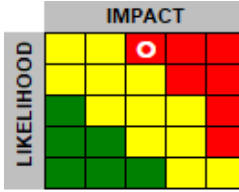
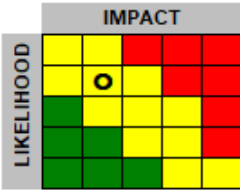
Risk Description	Previous risk score	Current risk score	Target risk score
Failure to Manage Increasing Demand for Services			TBC
Causes	<ul style="list-style-type: none"> • Lack of national response to the Independent Review of Children’s Social Care and report by the Competition and Markets Authority calling for action on the children’s social care market • Increase in the number of children needing a Social Care intervention across the spectrum of need. • Lack of common understanding of spectrum of need. • Budget pressures 		
Result	<ul style="list-style-type: none"> • Increased safeguarding risks • Poor outcomes for children in Sefton • Inability to cope with demand • Reputational damage 		
Current treatments and controls	<ul style="list-style-type: none"> • Joint Strategic Needs Assessment and supporting Children’s Chapters • People Strategy and Action Plan • Sefton Stronger Together Partnership • Level of Need document shared across partnership • Recruitment campaign for in house foster carers • Quality Assurance Framework • Practice Standards • Monthly Senior Management Performance Management meetings • Regular audit of cases, scrutiny of data and understanding of cohort to predict future demand (needs analysis). • Greater emphasis on the right response at the right time to enable intervention more swiftly and avoid drift and delay. • Budget monitoring • Increased scrutiny on the decision to bring a child and the exploration of safe alternatives. 		
Risk owner	Executive Director and Assistant Director of Children’s Services		
Proposed actions	<ul style="list-style-type: none"> • Transfer of Early Help into Children’s Services • Embed performance culture • Review of Safeguarding Partnership • Review of existing kinship care placements with a view to making these into SGO arrangements. • Develop channels to gain family feedback and incorporate into service delivery. 		

Risk Description	Previous risk score	Current risk score	Target risk score
Impact of Regulatory Framework Outcomes			TBC
Causes	<ul style="list-style-type: none"> • Ofsted Monitoring Visits • Further inspection of services under the ILAC framework 		
Result	<ul style="list-style-type: none"> • Services are found to not adequately safeguard children • Reputational damage to the Council and Statutory partners • Loss of confidence in partnership arrangements 		
Current treatments and controls	<ul style="list-style-type: none"> • Improvement board established under DfE improvement notice • DfE Advisor supporting Improvement Programme • Phase 1 Improvement Plan progressing • Regular reports to Overview & Scrutiny • Self-evaluation has been refreshed and updated • Performance dashboard • Quality Assurance Framework. 		
Risk owner	Executive Director and Assistant Director of Children's Services		
Proposed actions	<ul style="list-style-type: none"> • Continue with Improvement Board oversight • Scrutineer to join Improvement Board • Progress recommendations made by Children's Commissioner • Report progress and risk to Overview & Scrutiny • Develop Phase 2 of Improvement Plan • Review Quality Assurance Framework • Continue with Audit regime. 		

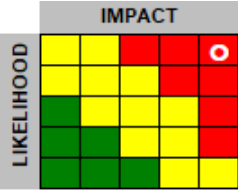
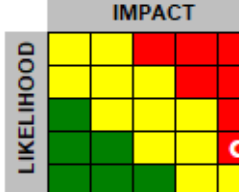
Risk Description	Previous risk score	Current risk score	Target risk score
School debts transferring back to the Council in the event of them being forced into academy status or closing.			
Causes	<ul style="list-style-type: none"> Schools with Licensed Deficit Budget Agreements with the Council fail 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 able to provide an action plan and assurance that the school can address its' financial concerns and become viable and so Elected Members formally agree to the closure of the school. 		
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 2022/23. The overall deficit of the above establishments in 2022/23 is approx.£1.82m 		
Current treatments and controls	<ul style="list-style-type: none"> All Schools requesting Licensed Deficit Budget agreement must provide 3-year financial plan to the Council by 30th April each year and get approval 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 Sefton Council's Cabinet Member for Education on overall financial risk to the Council and performance of each school against the agreed Licensed Deficit Plans. Termly meetings with Assistant Director of Education 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	Assistant Director Children's Services (Education)		
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. 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. Sacred Heart converted to the Pope Francis Multi Academy Trust in July 2023. St Teresa's closed on 31st August 2022 		

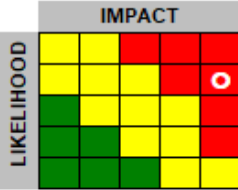
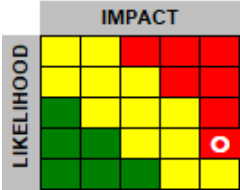
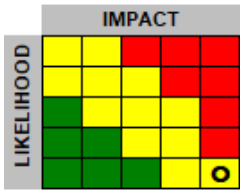
Risk Description	Previous risk score	Current risk score	Target risk score
Failure to mitigate impacts of COVID-19, on Recovery and Cost of Living Crisis for the Sefton economy			
Causes	<p>Lack of support for business Lack of progress on projects that can support recovery Lack of capital and revenue 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	<ul style="list-style-type: none"> • Increased business failure • Vacancy/skills gaps/Increased unemployment • Income disparities in Sefton's Lower Super Output areas (north and south Sefton) • 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 		
Current treatments and controls	<ul style="list-style-type: none"> • Sefton Covid Recovery plans in place and will be replaced by Sefton Economic Strategy (SES) 2022/24 • Consultation on economic evidence base 20 July-17 August 2022 • Feedback will, where appropriate, be fed into the development of a new SES & action plan that will require approval by Cabinet in October 2022. • SES will be overseen by the Economy Cell which will report through the Growth board and Executive Director for Place • 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 Invest Sefton and Sefton@Work in context of an ongoing recovery and replacement EU monies via UKSPF Full engagement in regional growth-related forums • Establishment of multi-stakeholder working groups focused on recovery in key town centres. • Delivery of Southport Town Deal development projects • Submission of Levelling up bid for Bootle 		
Risk owner	Assistant Director of Place (Economic Growth and Housing)		
Proposed actions	<ul style="list-style-type: none"> • The Sefton Economic Strategy is under complete review and will include all actions associated with recovery from pandemic. • Revised SES will be completed for October 2022 Cabinet decision • 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 		

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Ability of the Council to Recruit to its Workforce in order to Deliver its Core Purpose.</p>			
Causes	<p>Due to the contraction of the labour market both nationally and locally the council cannot recruit sufficiently skilled staff in order to meet business need.</p>		
Result	<ul style="list-style-type: none"> • The council does not have the capacity to deliver the services it needs to at the pace or standard required. • Due to the contraction in the market the council cannot recruit to key roles – over the past 12 months this has been evident in Social Care, Regeneration, Procurement, Performance Property and Finance. • Such a scenario places increased pressure on the workforce that cannot be maintained over the long term. • In addition to the lack of candidates in the market seeking permanent employment and a reduction in availability of temporary or agency staff, the cost of bringing in temporary cover is increasing exponentially thus creating budget pressure. 		
Current treatments and controls	<ul style="list-style-type: none"> • The Council's approach to recruitment and retention has been and will continually be the subject of review. This will be a key theme within the forthcoming workforce strategy • The Council is building on the success in some areas will seek to 'grow its own' workforce with the promotion of apprenticeships, the social worker academy and graduate programmes • The Council will seek to continually enhance its culture in order that staff remain in Sefton • The Council will work with Liverpool City Region Partners to recruit talent nationally and look at training and development programmes across the region that will be attractive to potential candidates 		
Risk owner	<p>All Assistant Directors</p>		
Proposed actions	<p>This is a new risk and treatments, and controls are new in place at this time.</p>		

Risk Description	Previous risk score	Current risk score	Target risk score
ASC Workforce – recruitment, availability of suitably qualified staff and retention of current workforce			
Causes	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 delays in responsiveness for some individuals and carers. • Risk to delivery of certain statutory functions in specific areas, • Potential to miss priority and vulnerable service users • Potential for poor service delivery • Reduction of quality assessment and support planning due to demands on staffing • Challenges to budget management and forecasting • Increase in service user complaints • Poor morale and higher turnover of staff due to increased pressure on other colleagues • Increased management resource needed to deal with HR issues 		
Current treatments and controls	<ul style="list-style-type: none"> • Targeted action to attract and retain key roles e.g., AMHP's, BIA's (enhancement for OOA AMHP now in place) • Processes in place to monitor waiting times and cases pending at Senior Level including action taken to mitigate any potential risk- oversight at strategic performance and resource meeting • Staff induction and training and induction plans reviewed • Personnel and HR policies to address concerns around capability and performance • Process to monitor and manage staff absence - additional support from HR and promotion of wellbeing support • PDR process and assessment of training needs • Professional Practice Forum established • Robust training plan for ASYE Adults programme • Regular staff training events in place • Core training offer in place to support professional development and retention • Empower staff to value continued improvement - Focus on reading time for front line staff • Apprenticeship scheme expansion - opportunities now available across a range of roles and professions - managerial, professional, business and administration to aid development and succession planning • Final draft of Career Progression Framework awaiting final sign off • Strategic Workforce meeting now in place • OT apprenticeships in place • Increased visibility of workforce metrics via performance framework with further enhancement planned aligned to National Assurance Framework 		

	<ul style="list-style-type: none"> • Refreshed Staff bulletin now developed in collaboration with comms • ASC now represented on NWADASS workforce Board - to ensure regional and national initiatives are engaged with. • Initial phase of work force strategy is in process however further work to be undertaken regarding longer term demands and impact of Integration • New supervision policy drafted • Attend ELT Workforce Strategy Group to develop Corporate Workforce Strategy • Peer review completed July 2022 • Review of existing Apprenticeship arrangements for OT and SW to increase targets and success levels completed • Review of agency staff usage across all service areas completed continue to monitor • Review of regional and national workforce initiatives • Strategic review of budget and income completed to support investment • Staff communication strategy has been refreshed and workshops planned with frontline colleagues and leaders (including back to the floor)
Risk owner	Assistant Director of ASC
Proposed actions	<ul style="list-style-type: none"> • People Strategy for ASC at final sign off stage • Recruitment campaign now being implemented including increased use of social media • Review of weekend working in process • Development of improved provision of workforce metrics being developed with HR to ensure service meets requirements of National Assurance Framework • Review of key posts and JDs to ensure market competitiveness and compliance with new system approaches Oct 2022 collated central point for storage of JDs for further review • Place based Integrated Workforce strategy to be developed

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			TBC
Causes	<ul style="list-style-type: none"> • 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. This includes inflationary cost pressures; insufficient market capacity, contractor availability and contractor capacity; insufficient availability of materials and/or labour; delayed lead-in times for materials or services; rising prices for services, materials, and equipment. • Insufficient internal staffing resource, hindering effective and timely delivery. 		
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	ED Place and Assistant Director of Place (Economic Growth and Housing)		
Proposed actions	<ul style="list-style-type: none"> • Immediate review of the Government White Paper on Levelling Up to ensure timely advantage taken of any funding opportunity. • 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 – currently being actioned. • Further refine and strengthen capital project planning, delivery, and governance measures 		

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			
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 an 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. 		